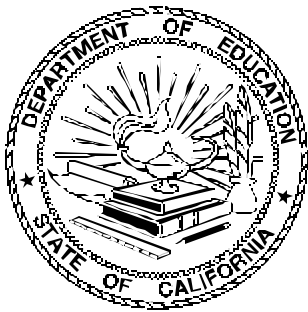


# **Workforce Investment Act, Title II Adult Education *and* Family Literacy Act**

## **California State Plan 1999-2004**



California Department of Education, Adult Education Office  
660 J Street, Suite 400  
Sacramento, CA 95814  
Revised January 10, 2002

# Table of Contents

<b>1.0</b>	<b>Eligible Agency Certifications and Assurances.....</b>	<b>1.1</b>
	1.1 Certifications.....	1.1
	1.2 Assurances .....	1.1
<b>2.0</b>	<b>Needs Assessment.....</b>	<b>2.1</b>
	2.1 Individuals Most in Need .....	2.1
	2.2 Populations .....	2.2
<b>3.0</b>	<b>Description of Adult Education and Literacy Activities.....</b>	<b>3.1</b>
	3.1 Description of Allowable Activities .....	3.1
	3.2 Special Rule .....	3.5
	3.3 Description of New Organizational Arrangements .....	3.5
	3.4 Description of English Literacy and Civics Education Activities.....	3.5
<b>4.0</b>	<b>Annual Evaluation of Adult Education and Literacy Activities.....</b>	<b>4.1</b>
<b>5.0</b>	<b>Performance Measures.....</b>	<b>5.1</b>
	5.1 Eligible Agency Performance Measures.....	5.1
	5.2 Additional Indicators.....	5.4
	5.3 Levels of Performance for First Three Years .....	5.4
	5.4 Factors .....	5.5
	5.5 Performance Measures for English Literacy and Civics Education.....	5.6
<b>6.0</b>	<b>Procedures and Process of Funding Eligible Providers.....</b>	<b>6.1</b>
	6.1 Applications for Section 231/225 Grants .....	6.1
	6.2 Eligible Providers.....	6.2
	6.3 Notice of Availability.....	6.3
	6.4 Process of Funding Eligible Providers for 231/255 Grants .....	6.3
	6.5 Evaluation of Applications for 231/225 Grants .....	6.5
	6.6 Payment and Audit of Local Assistance Funds.....	6.6
	6.7 Special Rule .....	6.8
	6.8 Procedures and Process of Funding Eligible Providers for EL Civics Education.....	6.8
<b>7.0</b>	<b>Public Participation and Comment.....</b>	<b>7.1</b>
	7.1 Description of Activities .....	7.1
	7.2 Governor’s Comments .....	7.3
	7.3 State Job Training Coordinating Council Letter of Support .....	7.3
<b>8.0</b>	<b>Description of Program Strategies for Populations.....</b>	<b>8.1</b>
<b>9.0</b>	<b>Integration with Other Adult Education and Training Activities.....</b>	<b>9.1</b>
	9.1 Description of Planned Integrated Activities .....	9.1
<b>10.0</b>	<b>Description of the Steps to Ensure Direct and Equitable Access.....</b>	<b>10.1</b>
	10.1 Description of Steps .....	10.1
	10.2 Notice of Availability.....	10.2

<b>11.0</b>	<b>Programs for Corrections Education and Other Institutionalized Individuals.....</b>	<b>11.1</b>
11.1	Types of Programs .....	11.1
11.2	Priority.....	11.1
11.3	Types of Institutional Settings .....	11.1
<b>12.0</b>	<b>Description of Proposed Leadership Activities.....</b>	<b>12.1</b>
12.1	Description of Activities .....	12.2
12.2	Collaboration with Other Related Agencies and Programs .....	12.8
12.3	Description of Proposed Leadership Activities for English Literacy and Civics Education Activities.....	12.9
<b>13.0</b>	<b>Description of Proposed Administrative Expenses.....</b>	<b>13.1</b>

# Acknowledgments

## *Adult Education & Family Literacy Act California State Plan 1999-2004*

### **California Department of Education Management**

Delaine Eastin, State Superintendent of Public Instruction and Director of Education  
Mary Tobias Weaver, Assistant Superintendent/Director Education Support Systems Division  
Richard Whitmore, Chief Deputy Superintendent for Educational Policy, Finance, and Accountability  
Henry Der, Deputy Superintendent Education Equity, Access & Support Branch  
Joan Dailey Polster, Director Adult Education Office  
Sue Bennett, Manager Educational Options Office

### **Chief Writers and Editors**

Margaret Kirkpatrick, Staff Development Institute, Director  
Lew Pebbles, California Department of Education, Consultant

### **Writers/Editors**

Bill Honer, Catholic Social Services, Adult Education For the Homeless  
Virginia Eberhard, Palm Springs Adult School  
Jan Parks, Santa Ana College School of Continuing Education  
Taylor Willingham, Santa Clara County Free Library

### **Corrections**

Paul D. Romero, California Department of Corrections  
Keith Holley, President, California Association of Jail Education  
Joe Barankin, California Youth Authority

## Contributors from the Field

### Adult Literacy Act Workgroup

Violanda Arredondo, Gonzales Adult School	Mike Lauletta, Ukiah Adult School	Celso Ruiz, Holtville Adult School
Anthony Cervantes, Mexican American Opportunity Foundation	Carmen Linares, Kingsburg Adult School	Jim Smith, San Diego Community College
Phillip Fultz, Morongo Basin Coalition for Adult Literacy	Lanny Nelms, Abraham Friedman Occupational Center, Los Angeles Unified School District, Adult Education	Gary Tom, City College of San Francisco
Carol Hirota, Stockton Adult School	Jan Parks, Santa Ana College District	Nicole Twaddle, Kern Adult Literacy Council
Bill Honer, Catholic Social Services	Candy Pulliam, La Coopertiva	Zigmund Vays, Community Enhancement Services
Mario Johnson, Education Options/Gateway Adult School	Lupe Reyes, Los Angeles Unified School District	Taylor Willingham, Santa Clara County Library-Read Program
Percy Julien, Oakland Adult Schools	Robert Rowen, Trinity Adult School	Mark Wilson, Fresno Adult School

### State Collaborative Literacy Council

Patrick Couch, California Conservation Corps	Cameron Robertson, California State Library	Carole Talan, State Literacy Resource Center/CSL
Gary Sutherland, California Department of Corrections	Lynn Miller, Chancellors Office of California Community Colleges	Juanita Stanley, California Literacy, Inc.
Joan Dailey Polster, California Department of Education	Vicki J. Johnsrud, Employment Development	Paul Heavenridge, NIFL Hub IV Project, Western/Pacific Literacy Network
Dick Stiles, California Department of Education	Mark Rodriguez, Governor's Office of the Secretary for Education	Margaret Kirkpatirck, Staff Development Institute

### Policy and Issues Workgroup

Karen Angarano, Hayward Adult School	Dom Gagliardi, Foothills Adult Education	Doris Longmead, Huntington Beach Adult School
Robert Benbow, Baldwin Park Adult & Continuing Education	Susan Gilmore, Warren McClaskey Adult School, Sacramento Adult Education	Lanny Nelms, Abraham Friedman Occupational Center, Los Angeles Unified School District, Adult Education
Cheryl Bordelon, Redlands Adult Education	Paul Goldman, Amador Valley Adult School	Corinne Price, Salinas Adult School
Virginia Donnellan-Eberhard, Palm Springs USD/Adult Education	Noreen Hanna, Napa Valley Adult School	Irv Rem, Hacienda-LaPuente Adult Education
Bill Ermert, Riverside Adult Alternative & Continuing Education	Sondra Jones, Simi Valley Adult School	Leonard Rivera, Whittier Adult School
James Figueroa, Los Angeles Unified School District, Adult Education	Rudy Kastelic, Sweetwater Union High School District, Adult School	Sandra Steiger, Milpitas Adult School
	David Lennon, Clovis Adult School	Barry Tronstad, Ventura Adult School

## State Job Training Coordinating Council

Patrick Ainsworth, Career Devel. &  
Workforce Prep., CDE

Jane Baker

Phil Blair, Manpower Temporary  
Services

The Honorable Cruz Bustamante,  
State of California

Maria Contreras-Sweet, Business,  
Transportation & Housing  
Agency

Donald D. Doyle

Delaine Eastin, California Department  
of Education

Ronnald Farland, Workforce  
Preparation, California  
Community Colleges

Gary R. Freeman, Glenn County  
Board of Supervisors

Pamela A. Garcia

Charles A. Harris

Grantland Johnson, California Health  
& Human Services Agency

The Honorable Patrick Johnston,  
California State Senate

George D. Lopez, San Diego County  
SER/Jobs for Progress, Inc.

Chris Lowe, City of Placentia

William M. Maguy, Proteus Training  
& Employment, Inc.

Caryl J. Miller, Riverside Co. Special  
Education Local Plan Area

Thomas Nussbaum, California  
Community Colleges

Doug Perkins, Pacific Gatewayup

Julie C. Puentes, Orange County  
Business Council

Frank J. Quintero, Alliance for  
Education

Ken Sacher, Sacher Properties

Jonathan Shapiro, Office of the  
Lieutenant Governor

Barbara N. Shaw, Barbara Shaw  
Seminars

Rona L. Sherriff, Senate Office of  
Research

Thomas J. Stapleton, Operating  
Engineers Local Union 3

Barry Stern, Public Performance  
Information Systems

Mary Toman, London Consulting  
Group

Samuel Wallace, Williams & Wallace  
Mgmt. Consultants

Iris H. Wang, WVMCCD

## Additional Contributors

Bud Pues, Pues & Associates

Michael Twombly, Twombly & Associates

## California Department of Education Staff

Lynn Drew Bartlett

Tom Bauer

Robert Calvo

Suzanne Collins

Juliet Crutchfield

Robert Ehlers

Dennis Fisher

Bernice Foster

Maritza Giberga

Jim Lindberg

Morrie Lindros

Wendi Maxwell

John Roman

Jacie Ragland

Richard Stiles

Olga Uribe

Wolfgang von Sydow

Peter Wang

## **Special Thanks:**

### **Leadership Projects**

Autumn Keltner, Comprehensive Adult Student Assessment System

Martin Harris, Outreach and Technical Assistance Network

Leann Howard, Comprehensive Adult Student Assessment System

Dennis Porter, California Distance Learning Project

Pat Rickard, Comprehensive Adult Student Assessment System

Linda West, Outreach and Technical Assistance Network

### **Staff Development Institute Support Staff**

John Burge

Venice A. Jenkins

Judy Mellor

Valerie Powell

# Preface

The adult education system we propose builds upon the goals and principles that have guided the development of adult education over past decades. The basic mission of California adult education is as follows:

*To provide lifelong educational opportunities and services which address the unique needs of individuals and communities by providing adults with the knowledge and skills necessary to participate effectively as citizens, workers, parents and family members, and consumers of goods, services, and leisure.*

This mission has been, and should continue to be, guided by the following principles:

- Encouragement of an educated population and individual development
- Learning throughout life
- Equal opportunity to learn
- Public responsibility to provide education
- Accessibility and alternative learning modes
- Learning achievement as the measure of success
- Responsiveness to many needs
- Partnerships with business and other agencies

The above mission and principles have remained as the foundation for building the future. However, social and economic changes are providing new tools and requiring new approaches to better serve these goals.

Adult education is at an historic crossroads. By moving proactively, California can create an educational system that better meets the needs of adult learners, our state, and those who run our adult education programs:

- For the adult learner, the future can bring easier access to educational resources and learning that is more closely tailored to individual needs. State-of-the-art technology can be used to make individuals more aware of the learning opportunities available to them, and to streamline the processes of enrollment and participation. Alternate approaches to learning can be made available to ensure that education is appropriate to adults and easily used by individuals with different needs. For example, education can be provided at convenient times, instructional technologies such as interactive video disks, distance learning, and computer assisted programs can be applied, learning can occur at home via TV and telecommunication hookups, and alternative methods such as tutoring and on-the-job training can be enhanced. Finally, educational certification processes can move progressively to competency assessments and away from “seat time” in order to ensure real gains to learners.
- California can create the capacity to ensure that our adult population has the education and skills to build a competitive economy and better quality of life. Student achievement and program data can guide the improvement of programs so that they provide maximum return to the taxpayer. These data can also guide periodic reassessment and prioritization of instructional programs so that the content of adult education remains attuned to state and local needs.
- For those who administer and teach adult education, added funds and the use of technology can provide the means to meet the challenges of tomorrow. New resources can be developed to make adults more aware of programs and encourage their participation. Technology and alternative instructional methods can provide the flexibility to improve program responsiveness. Procedures for collecting and processing data can be changed so that information serves the needs of students and schools as well as compliance requirements. Use of technology can cut paperwork, enrich educational activities, and reduce administrative workloads. Finally, collaborative planning among public and private stakeholders can facilitate needed changes and establish adult education as a critical pillar within California’s education system.



This plan proposes nothing less than an all out effort to improve adult skills and catalyze broad-based commitment to learning that meets the challenges of tomorrow. However, it does not propose a radical restructuring of existing educational institutions and programs. Rather it proposes development of new ways to deliver education and facilitate learning that will galvanize the participation and achievement of individuals, improve the responsiveness and outcomes of programs, systematically establish educational priorities, and build upon existing successes within our educational system.

The activities proposed in this plan build upon the cornerstone of partnership among stakeholders and accountability to students and the community. They empower individuals to improve their skills, but require commitment and achievement. They provide greater freedom and enhanced resources to educators, but require greater responsiveness and accountability. They promise a better work force for business, but call for greater involvement. They offer a better quality of life for all, but require greater support from each of us.

The Adult Education and Family Literacy Act helps California providers by supplementing the financial needs necessary to form partnerships and assist adults to become literate and obtain skills needed for employment and self-sufficiency. The Act further helps parents to assist with the education of their children.

# Chapter 1

## Eligible Agency Certifications and Assurances

---

*Section 221(1) requires the State to develop, submit, and implement the State Plan, and Section 224(b)(5), (6), and (8) require assurances specific to the State Plan content.*

---

*Adult Education and Family Literacy Act*, enacted August 7, 1998, as Title II of the *Workforce Investment Act of 1998 (Public Law 105-220)*. The California Department of Education of the State of California hereby submits its five-year *State Plan* to be effective until June 30, 2004. The eligible agency also assures that this *Plan*, which serves as an agreement between State and Federal Governments under the *Adult Education and Family Literacy Act*, will be administered in accordance with applicable Federal laws and regulations, including the following certifications and assurances:

### 1.0 Eligible Agency Certifications and Assurances

#### 1.1 Certifications (EDGAR 76.104, Certifications and Assurances)

##### ***Education Department General Administrative Regulations (34 CFR Part 76.104)***

1. The *Plan* is submitted by the eligible State agency.
2. The State agency has authority under State law to perform the functions of the State under the program.
3. The State legally may carry out each provision of the *Plan*.
4. All provisions of the *Plan* are consistent with State law.
5. A State officer, specified by title in the certification, has authority under State law to receive, hold, and disburse Federal funds made available under the *Plan*.
6. The State officer who submits the *Plan*, specified by the title in the certification, has authority to submit the *Plan*.
7. The agency that submits the *Plan* has adopted or otherwise formally approved the *Plan*.
8. The *Plan* is the basis for State operation and administration of the program.

#### 1.2 Assurances (Section 224(b)(5), (6), and (8))

##### ***Workforce Investment Act of 1998 (Public Law 105-220), Sections 224(b)(5), (6), and (8)***

1. The eligible agency will award not less than one grant to an eligible provider who offers flexible schedules and necessary support services (such as child care and transportation) to enable individuals, including individuals with disabilities, or individuals with other special needs, to participate in adult education and literacy activities. The eligible provider shall attempt to coordinate with support services that are not provided under this subtitle for support services.

2. Funds received under this subtitle will not be expended for any purpose other than for activities under this subtitle.
3. The eligible agency will expend the funds under this subtitle in a manner consistent with fiscal requirements in Section 241.

## **Section 241. Administrative Provisions**

### **A. Supplement not Supplant**

Funds made available for adult education and literacy activities under this subtitle shall supplement and not supplant other State or local public funds expended for adult education and literacy activities.

### **B. Maintenance of Effort**

#### **1. In general**

##### **a. Determination**

An eligible agency may receive funds under this subtitle for any fiscal year if the Secretary finds that the fiscal effort per student or the aggregate expenditures of such eligible agency for adult education and literacy activities, in the second preceding fiscal year, was not less than 90 percent of the fiscal effort per student of the aggregate expenditures of such eligible agency for adult education and literacy activities, in the third preceding fiscal year.

##### **b. Proportionate Reduction**

Subject to paragraphs (2), (3), and (4), for any fiscal year with respect to which the Secretary determines under subparagraph (A) that the fiscal effort or the aggregate expenditures of an eligible agency for the preceding program year, the Secretary –

- i. shall determine the percentage decreases in such effort or in such expenditures; and
- ii. shall decrease the payment made under this subtitle for such program year to the agency for adult education and literacy activities by the lesser of such percentages.

#### **2. Computation**

In computing the fiscal effort and aggregate expenditures under paragraph (1), the Secretary shall exclude capital expenditures and special one-time project costs.

#### **3. Decrease in Federal Support**

If the amount made available for adult education and literacy activities under this subtitle for a fiscal year is less than the amount made available for adult education and literacy activities under this subtitle for the preceding fiscal year, then the fiscal effort per student and the aggregate expenditures of an eligible agency required in order to avoid a reduction under paragraph (1)(B) shall be decreased by the same percentage as the percentage decrease in the amount so made available.

#### 4. Waiver

The Secretary may waive the requirements of this subsection for one fiscal year only, if the Secretary determines that a waiver would be equitable due to exceptional or uncontrollable circumstances, such as a natural disaster or an unforeseen and precipitous decline in the financial resources of the State or outlying area of the eligible agency. If the Secretary grants a waiver under the preceding sentence for a fiscal year, the level of effort required under paragraph (1) shall not be reduced in the subsequent fiscal year because of the waiver.

\_\_\_\_\_  
California Department of Education

(State Agency)

\_\_\_\_\_  
721 Capitol Mall  
Sacramento, CA 95814

(Address)

By: \_\_\_\_\_

(Signature of Agency Head)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
State Superintendent of Public Instruction

(Title)

# Chapter 2

## Needs Assessment

---

*Section 224(b)(1) of the Adult Education and Family Literacy Act requires: “An objective assessment of the needs of individuals in the State or outlying area for adult education and literacy activities, including individuals most in need or hardest to serve.”*

---

This chapter provides a broad overview of key population groups that will require services from California’s Adult Education system and the capacity of adult education programs to provide these services.

### 2.0 Needs Assessment (Section 224(b)(1))

#### 2.1 Individuals Most in Need

The population of California is projected to increase to 36.4 million by year 2000 and 39.6 million by 2020. This is an increase of 21.3 percent from a baseline in 1990 and a 67 percent increase from 23.8 million in 1980 (Department of Finance, 1990 Census Data). While this growth will occur at rates that are slower than prior decades, California’s growth rate will be almost twice as fast as the rest of the nation. Population growth over the next two decades will come from birth and migration. Although population growth between 1970 and 1985 was split almost evenly between these two sources, a persistent flow of immigration is expected to make this the principle source of population growth in the future.

Estimating potential need for adult education services in the next few years requires adjusting for the number of children who will enter adulthood, factoring a high school drop-out rate based on past actual completion rates, projecting the immigration rate of growth and its corresponding literacy and workforce preparation needs, and anticipating needs of unemployed workers in future years. These groups number approximately 4.4 to 5 million out of school persons. (*Data Inventory and Preliminary Analyses to Support CDE Strategic Planning for Adult Education*, Intili and Kissam, 1996.)

Current data from the California Basic Educational Data Systems (CBEDS) have shown a steady increase in participation in adult education programs since 1993. Data from federally funded ABE programs in California over a five-year period show that almost half of the adult population served is functioning at the lowest level of literacy (NALS Level 1).

The trends will greatly increase the demand for adult education programs. First, there will be a larger population to serve. Second, a larger portion of tomorrow’s population will be working adults between the ages of 18-49, and a larger proportion of these adults will be in groups that traditionally participate most in adult education programs.

It is not surprising that ESL is the largest program in California’s adult education programs. According to the 1997 CBEDS data, there were 566,173 students enrolled in ESL classes. This accounts for 38.2 percent of the all-adult education programs in California.

## 2.2 Populations

The following six key population groups have been identified, each with unique needs for further education and training, as being the most in need for adult education services.

- a. Disadvantaged Adults
- b. Adult Immigrants
- c. Homeless Adults
- d. Individuals with Disabilities
- e. Incarcerated Adults
- f. Single Parents and Displaced Homemakers

### a. Disadvantaged Adults

The term “disadvantaged” encompasses many definitions. For the *State Plan*, the term “educationally disadvantaged adult” means an adult who (1) demonstrates basic skills deficiency or scores below the 8th grade level on a generally acceptable standardized test, 235 CASAS scale score, or comparable score on a criterion-referenced test; or (2) has been placed in the lowest or beginning level of an adult education program when that program does not use grade level equivalencies as a measure of a student’s basic skills.

#### ***Educational Attainment***

The State Adult Literacy Survey (SALS), (1994), identifies that a surprising 44-50 percent of California adults have literacy skills in the lowest two literacy levels, indicating that they possess quite limited literacy skills, being generally, but not consistently, unable to respond correctly to more challenging literacy tasks. These adults may be at risk as the nation’s economy and social fabric continue to change.

California ranks 37th in the nation in terms of persons with four or more years of high school. One out of four adults over 25 years of age does not possess four or more years of high school.

#### ***Low Income Students***

In 1990, 3,627,585 people, or 12.5 percent of the population, were living below the poverty level. By 1995, that figure had increased to 16.7 percent. In 1973, persons with a high school diploma earned \$24,000 per annum in 1989 dollars. Those same high school graduates earned \$14,000 a year in 1989. The research literature indicates that:

1. A person who earns only a high school diploma is likely to be economically disadvantaged, compared to individuals who have additional education and/or training.
2. A worker who lacks a high school diploma is seriously disadvantaged.

Economic advancement requires either an AA degree or specialized training in a high demand occupation. Adult Basic Education (ABE) enables adults to develop the literacy and numeracy competencies, which can lead to a high school diploma and technical studies.

The target groups identified as most in need are characterized by high levels of literacy and ABE needs.

#### ***Temporary Assistance to Needy Families (TANF) Recipients***

In California, during the 1997-98 fiscal year, over 637,500 adults a month were receiving welfare assistance. Over 40 percent of this welfare caseload was in Los Angeles County. Data over a 10-year period, 1984-1994, in California indicate that 60 percent of the welfare population lack the basic literacy and English language skills needed to obtain long term unsubsidized employment. (*GAIN Appraisal Program*, CASAS, 1995)

## b. Adult Immigrants

Approximately 6,450,000 Californians are foreign born. This represents 21 percent of the 29 million adults in California. It is significant to note that one half of the immigrant population has entered the country since 1980. This strongly suggests immigrants and their families will play an increasing role within the California economy.

The three major United States immigrant groups in 1995 were Latinos (12.5 percent), Filipino (7.1 percent), and Vietnamese (5.8 percent). All three groups play a major role within California society.

Analyses by Robert Warren of INS and Jeffrey Passel and Michael Mix of the Urban Institute, lead to a projection of an increase of approximately two million new immigrants residing in California in the years 1990-2000. Of the estimated 1.6 million who are already adults, it can be assumed that 90 percent (1.44 million) will require literacy skills to attain economic self-sufficiency. (Intili and Kissam, 1996)

The recent immigrant populations are, in many cases, characterized by having more limited skills and education than some former immigrant groups. SALS reported that 17 percent of this population have not completed any schooling before coming to the United States. An additional 38 percent reported completing only the primary or elementary levels of education.

Of the immigrant population that obtained legal resident status under the *Immigration Reform and Control Act of 1986* (IRCA) and participated in adult education programs, 70 percent scored below a CASAS scale score of 200 and were enrolled in beginning low ESL programs (CASAS, 1992). English literacy development is therefore a key educational priority within these groups to help them achieve competence in the English language and to enter the workforce.

Of those immigrants that adjusted to permanent resident status under IRCA, 85 percent reported working full-time. However, most were employed in entry-level or unskilled jobs requiring limited English skills. Typically these are hourly minimum wage jobs with no health benefits.

The majority of the farm workers come from the poor State of Mexico, such as Michoacan and Guanajuato. Language and educational skills of farm workers are limited and, once in California, one out of every four Latinos still lives in poverty. Levels of educational attainment for migrant farm workers are very low: 78 percent of California farm workers have fewer than eight years in school. Only 20 percent reported speaking English either well or as their native language; 44 percent reported speaking no English. (Intili and Kissam, 1996) Increased English language competencies will enable seasonable workers to achieve a level of skills which could lead to citizenship or better jobs.

The following chart indicates the percentage of different ethnic groups that function at NALS Levels 1 and 2 and the real numbers that the percentage represents.

**Literacy Levels by Ethnic Groups, 1990**

<b>Ethnic Groups Ages 16-64</b>	<b>Percentage and Numbers Population NALS Level 1</b>	<b>Percentage and Numbers Population NALS Level 2</b>	<b>Aggregate Percentage and numbers NALS Levels 1 and 2</b>
African-American	30% 463,000	44% 678,000	74% 1,141,000
American Indian	Not reported	Not reported	Not reported
Asian/Pacific Islander	30% 406,000	28% 379,000	58% 785,000
Hispanic	52% 2,972,000	24% 1,372,000	76% 4,344,000
White Non-Hispanic	12% 1,673,000	23% 3,207,000	35% 4,880,000
<b>TOTALS</b>	<b>5,514,000</b>	<b>5,636,000</b>	<b>11,150,000</b>

Source: Jenkins and Kirsch, 1994

**c. Homeless Adults**

According to Home Base, a San Francisco based public policy group, 925,000 persons in California experienced at least one episode of homelessness during 1995.

CDE will partner with the Health and Welfare Agency providers to make literacy services possible for homeless adults. Adult literacy services would provide life skills instruction linkages to community resources, self-esteem support, and preparation for employment.

**d. Individuals with Disabilities**

Although reports vary from the many studies conducted by a variety of special population agencies and various U.S. Governmental agencies, the best estimate is that in 1990 about 600,000 or 15 percent of the adult education core population (out of school, 16 years of age and older, and having less than a high school diploma) have some form of disability. At the same time, studies have indicated that over 50 percent of adults who are native speakers of English enrolled in adult programs have a serious learning disability. There is a strong link between any type of disability and poverty. The 1990 Census data show that 89 percent of disabled out-of-school persons with less than a 4-year degree or diploma are at or below 150 percent of the poverty level. (Intili and Kissam, 1996)

NALS (National Adult Literacy Survey) findings demonstrate the correlation between learning disabilities and unemployment: 75 percent of unemployed adults have reading and writing difficulties.

Learning disabilities, along with substance abuse, is listed as one of the two most common impediments for welfare recipients trying to gain and maintain employment, according to the 1992 report from the Office of the Inspector General.

Given the correlation between lower levels of educational attainment and disability and employment, it is likely that the majority of disabled persons seeking adult education services function at low levels of literacy and require intensive services—both in accommodations and instructional interventions.

**e. Incarcerated Adults**

The *California Department of Corrections Prison Literacy Survey* (1997) identified low educational attainment as being highly correlated with incarceration, reporting that over one-third of the inmates eligible for literacy



services demonstrate performance at National Adult Literacy Survey (NALS) Levels 1 and 2. Presently, the 33 state prisons house over 156,000 inmates, with 30,000 inmates participating in literacy instruction. In California, county jails house approximately 72,000 adults every day, many of whom lack the basic educational, social, and job skills necessary to perform as productive and responsible members of society. Approximately 90 percent of all prison inmates are released back into the community within a few years of being incarcerated. The Little Hoover Commission's report, *Beyond Bars: Correction Reforms to Lower Prison Costs and Reduce Crime*, January, 1998, indicates that there is a strong need for education, education related to treatment, and job training to prepare inmates to become responsible citizens once they return to the community.

**f. Single Parents and Displaced Homemakers**

Displaced homemakers are individuals who have been providing unpaid services to family members and now are unemployed or underemployed and experiencing difficulty in obtaining or upgrading employment. The assessment of the basic skills of incoming welfare clients indicate that the majority of incoming clients required basic skills instruction before entering technical training or employment. In 1996, there were 860,000 Aid For Dependent Children (AFDC)/GAIN caseloads in California, of which 663,658 (73.4 percent) were single women.

# Chapter 3

## Description of Adult Education and Literacy Activities

---

*Section 224(b)(2) requires: A description of the adult education and literacy activities that will be carried out with any funds received under this subtitle.*

---

### 3.0 Description of Adult Education and Literacy Activities (Section 224(b)(2))

#### 3.1 Description of Allowable Activities

The National Adult Literacy Survey (NALS) and the State Adult Literacy Survey (SALS) have identified a competency level and established a demonstrated need for literacy instruction.

Supplementary funding for adult education programs will be set according to the following priorities:

1. Literacy targeted at NALS Level 1 (CASAS 210 and below), consisting of Adult Basic Education and English as a Second Language, which includes ESL-Citizenship,
2. Literacy targeted at NALS Levels 1 and 2 Workplace based (CASAS 235 and below), consisting of Adult Basic Education and English as a Second Language, which includes ESL-Citizenship,
3. Literacy targeted at NALS Level 2 School based (CASAS 211-235), consisting of Adult Basic Education and English as a Second Language, which includes ESL-Citizenship,
4. Family Literacy requires collaboration with corresponding programs of literacy services for children, and
5. Adult Secondary Education NALS Level 3 and above (above CASAS 236).

Priorities 1, 2, and 3 will be funded at not less than 80 percent of the Local Assistance funds, since these priorities include the hardest to serve, most in need students. Priorities 4 and 5 will be funded at no more than 10 percent each of the Local Assistance funds, since these programs require coordination with partner agencies to provide the full array of services, such as child care and age appropriate activities for children.

Following is a brief description of the major types of literacy programs in California for the *California State Plan*: Adult Basic Education (ABE), English as a Second Language (ESL), which includes ESL-Citizenship, Workplace Literacy (WL), Family Literacy (FL), and Adult Secondary Education (ASE).

#### **Priority One: Literacy at the NALS Level 1**

*Priority One will target disadvantaged adults, adult immigrants, minorities, and incarcerated adults as key populations. Each of these groups has been shown through a needs assessment (see Chapter 2) to contain large numbers of adults with low educational achievements who would be served in ABE and ESL programs.*

#### **ABE**

Basic skills includes literacy (reading and writing) and computational skills necessary for functioning at levels comparable to students in the elementary education system. Courses may be remedial for students, or they may provide educational opportunities for students who speak but do not read English. These programs are competency-based in that they are designed to teach the basic academic and life skills necessary for success in today's world.

The *State Plan* recognizes and supports the proficiency levels described in the CDE document, *Model Program Standards for Adult Basic Education*.

Key objectives for ABE, NALS Level 1 programs are the following:

- Provide adults with basic academic skills that will help them become more productive members of the community.
- Help students meet personal goals, such as developing job readiness skills, finding employment, advancing on the job, becoming a better parent, developing skills for interpersonal relationships, or entering adult secondary education classes.
- Increase students' self-respect and sense of self-worth.
- Provide a non-threatening program environment to assist students in reaching their goals.
- Assess students' skill levels.

### ***ESL, which includes ESL-Citizenship***

In the next five years, the focus of instruction in California will continue to be competency-based (i.e., students are engaged in purposeful use of the language, rather than learning about the language). Students can use the skills gained to achieve basic life skill needs, enhance employment and career opportunities, obtain citizenship, progress to vocational or academic programs, and function in English at high cognitive levels, furthering self-worth and contributing to their communities. ESL programs, which includes ESL-Citizenship, are offered in day, evening, and weekend formats, as well as via cable television and other distance learning strategies in some locations. Citizenship classes will offer students instruction in history, geography, and government to prepare students for the citizenship test and INS interview. Vocational ESL classes (VESL), designed with a vocational emphasis, are a refinement of ESL. Many California adult programs promote progression from ESL to vocational education, once the student is proficient enough in English to be employable. As reported in the 1997-98 ABE 321/326 Survey, more literacy programs will support the identification of VESL program models.

Within an agency's ESL program, which includes ESL-Citizenship, federal funds will be used on a priority basis in beginning levels of ESL, NALS Level 1. This will allow those most in need of ESL instruction to be served. Students are typically placed in appropriate skill-level classes on the basis of a variety of assessments of general language proficiency. There are seven levels of instruction: beginning literacy, beginning low, beginning high, intermediate low, intermediate high, advanced low, and advanced high. Assessments for exiting or progressing from one level into another measure both general language proficiency and specific competencies.

The *State Plan* recognizes and supports the Proficiency Levels described in the CDE document *Model Standards for Adult English as a Second Language Programs*.

The key objectives for adult education ESL, which includes ESL-Citizenship, NALS Level 1 programs are the following:

- Provide learning environments that foster low anxiety levels in order to develop language fluency to enhance the self-esteem of students and provide experiences in team building.
- Integrate language acquisition with relevant life experiences stressing the importance of critical thinking, problem solving, and self-sufficiency.
- Use proficiency standards for assessing the major accomplishments of the students.
- Develop students' receptive English language skills of listening and reading comprehension.
- Develop students' productive English language skills of speaking and writing.
- Provide students with the ability to use English that is accurate and appropriate in a variety of academic and social settings.
- Provide students with English language and citizenship instruction necessary to successfully complete the citizenship application and interview process.

**Priority Two: Workplace Literacy at the NALS Levels 1 and 2**

*Priority Two targets disadvantaged adults, homeless adults, individuals with disabilities, and single parents and displaced homemakers as key populations. Each of these groups demonstrates a need for service within Workplace Literacy programs (see Chapter 2).*

Workplace literacy is a course of study which has as its primary goal the development of knowledge and skills that enable the student to obtain paid employment, retain employment, or upgrade employment upon the successful completion of the course of study and includes vocational education or training. Literacy services are offered for the purpose of improving the productivity of the workforce through the improvement of literacy skills.

Workplace literacy projects contain the following elements:

- a safe and accessible environment in which instruction can take place, including workforce centers and employment development centers;
- basic skills and content specifically related to job skill requirements;
- continued growth of employees as technological advances occur; and
- the coordination of community resources to supplement program resources.

Welfare reform, economic development initiatives, and the *Workforce Investment Act* provide impetus to curricular changes that develop literacy and language in a workplace context. Workforce literacy programs can provide post-employment support to ensure that newly employed students can continue to gain skills needed to stay employed or become better employed.

**Priority Three: School Based Literacy at the NALS Level 2**

*Priority Three targets disadvantaged adults, homeless adults, individuals with disabilities, and single parents and displaced homemakers as key populations. Each of these groups has been shown through a needs assessment (see Chapter 2) to contain large numbers of adults with low educational achievements who would be served in Literacy programs.*

The mission of ABE programs is to improve students' basic skills in language arts and mathematics. The key objectives for ABE programs are the following based on *Model Program Standards for Adult Basic Education*:

- Provide adults with basic academic skills that will help them become more productive members of the community.
- Help students meet personal goals, such as getting ready for work, finding employment, advancing on the job, becoming a better parent, developing skills for interpersonal relationships, or entering adult secondary education classes.
- Increase students' self-respect and sense of self-worth.
- Provide a non-threatening program environment to assist students in reaching their goals.

The goal of a model ABE program is to provide comprehensive services to meet the diverse educational needs of students and enable them to compete successfully in the larger global community. The program prepares its students to make the transition to secondary education programs or job preparation classes and helps them meet personal goals.

**Priority Four: Family Literacy**

*Priority Four targets disadvantaged adults, adult immigrants, minorities, homeless adults, and single parents and displaced homemakers as key populations. Each of these groups has been shown through a needs assessment (see Chapter 2) to contain large numbers of adults with low educational achievements who would be served in Family Literacy programs. The SALS demonstrates clearly that*

*the achievement level of children in school is directly linked to the educational level of their parents, so the provision of literacy training in this family literacy model benefits both generations.*

CDE will annually allocate up to 10 percent of 231 funds for Family Literacy to agencies that meet the qualifications for a Section 231 grant.

The Family Literacy Program agency application must follow guidelines listed in the Section 231 grant application, which includes the following elements:

1. provides opportunities for interactive parent-child activities;
2. addresses age-appropriate education to prepare children for success in school and life;
3. offers Parent Education about being the primary teacher for children and full partners in their education; and
4. provides literacy training that leads to economic self-sufficiency.

In keeping with the requirements of Title II, the emphasis through these grants will be on education of the adults. The interactive parent-child activities involving children will focus on the adults who will demonstrate literacy skills and knowledge and use of age-appropriate educational activities for children and set examples in the learning process as they fulfill the role of primary teacher of their children. The activities of the children must be funded by collaborative partners, such as Head Start, Even Start, or other funding sources.

#### **Priority Five: Adult Secondary Education at the NALS Level 3 and above**

*Priority Five targets disadvantaged adults, homeless adults, individuals with disabilities, incarcerated adults, single parents, and displaced homemakers as key populations. Attainment of a high school diploma or equivalency contributes to economic self sufficiency and full participation in their community.*

An educated population is essential to maintaining a democratic society. The *State Plan* recognizes and supports the proficiency levels described in the CDE document *Model Program Standards for Adult Secondary Education*. Adult Secondary Education programs in California are built on the premise that citizens should be provided with an educational experience that promotes:

- the principles of democracy,
- language and numerical literacy,
- the role of an informed citizenry,
- a multicultural orientation,
- a sense of a shared past that has direct relevance and importance in the present,
- a sense of shared values and ethical principles that contribute to the common good,
- an ability to make informed judgments, and
- a national and international perspective on world events.

The primary goal of adult secondary education programs is to provide a curriculum that enables adults to attain a California high school equivalency or a high school diploma. Adult secondary education programs are performance oriented and deliver instruction through processes that facilitate, measure, and certify learning outcomes. Programs are conducted within flexible time limits, are relevant to the practical needs of adults, and teach the skills and knowledge necessary for self sufficiency and employment.

To meet the challenges of a rapidly changing society, adults must have the opportunity to learn throughout their lives. Therefore, adult education programs have the responsibility to provide learning environments that focus on the continuing educational needs of adults.

## 3.2 Special Rule

Each eligible agency awarding a grant or contract under this section shall not use any funds made available under this subtitle for adult education and literacy activities for the purpose of supporting or providing programs, services, or other activities for individuals who are not individuals described in subparagraphs (A) and (B) of Section 203(1), except that such agency may use such funds for such purpose if such programs, services, or activities are related to family literacy services. In providing family literacy services under this subtitle, an eligible provider shall attempt to coordinate with programs and services that are not assisted under this subtitle prior to using funds for adult education and literacy activities other than adult education activities (Section 231(d)).

## 3.3 Description of New Organizational Arrangements

CDE works collaboratively at the state and local level by serving on Boards, committees, and partners to assist in ensuring that literacy education is a major component in the overall service that is provided.

## 3.4 Description of English Literacy and Civics Education Activities

Funding for English Literacy and Civics (EL Civics) Education will be awarded to adult education programs on a competitive basis for local assistance projects in three different component areas: (1) English Literacy and Civics Education Program Implementation, (2) English Literacy and Civics Education Program Enrichment Activities, and (3) Citizenship Preparation Education. Programs can apply for funding in any component area and will be encouraged to apply for components that are mutually supportive.

Following is a brief description of the EL Civics Education component areas to be targeted.

### 3.4.1 English Literacy and Civics Education Program Implementation

Any eligible provider, as defined in section 6.2 of the California State Plan, may apply for funding to support delivery of an EL Civics Education class. Eligible providers are not required to have a current ESL or ESL/Citizenship program in operation. In making awards, the State will consider, as one of several factors, the past effectiveness of an eligible provider in improving the literacy skills of adults and families and the success of an eligible provider in meeting or exceeding the statewide performance measures, especially with respect to those adults at the lowest levels of literacy.

In program design, providers will demonstrate a focus that goes far beyond the scope of the naturalization process and that will include a comprehensive civic education component. Providers will stress contextualized learning in which language and literacy are developed through thematic units. Experiential community pursuits will be integral to program delivery. Emergent curricula based on student identified, civic participation issues will be used to ensure that the real experiences of adult learners are utilized as a core aspect of instruction in this kind of program.

Project activities will be used as the **context** for language and literacy instruction and will be integrated into the overall, instructional goals of the EL Civics Education class. Programs will identify and document observable and measurable goals and complete a comprehensive evaluation report at the close of the report. Agencies will incorporate distance learning opportunities into program design.

Students will be involved in, but are not limited to, the following kinds of activities:

- Problem posing on student generated issues of local community concern – for example, the need for a speed bump on a heavily populated street
- Short-term internship or job shadowing experiences
- Project completion – creating/maintaining a community garden, participating in production of a program segment on local radio, presenting an issue at a city council or school board meeting
- Identification of and participation in community enrichment initiatives - for example, graffiti paint out, trash pick up

- Identification of and participation in volunteer opportunities

Funds may be utilized by agencies to support child care and transportation for participants in EL Civics Education Program Implementation grants.

### 3.4.2 English Literacy and Civics Education Program Enrichment Activities

Any eligible provider may apply for funds to support programmatic strategies that are designed to add a stronger civic education element to instruction. The State encourages applicants to use asset-based, community capacity building models to develop activities that involve different generations in interactive, collaborative, community based or civic participation activities. Providers will focus on building parental assets and capacities to support the academic achievement of their school-age children.

Allowable activities **may** include but are not limited to:

- Facilitation of site visits to government agencies/offices, state capitol, community resource centers, libraries, local assistance agencies, immunization clinics (Site visits must occur as part of an **integrated instructional unit** that incorporates language and literacy development goals. Funds may be used to cover necessary and reasonable site visit transportation costs.)
- Incorporation/strengthening of an English Literacy and Civics Education distance learning component
- Literacy/civics education based on individual and community asset mapping activities
- Literacy/civics education based on community building activities — discovering, connecting and mobilizing participants' assets and connecting these to people and groups in the community in order to achieve specific goals (For example, information gathering/compilation on vacation programs and enrichment activities for school-age children, research on scholarships/financial assistance for children to participate in education programs and attend college.)
- Literacy/civics education activities based on research about and visits to community/educational resources — libraries, museums
- Literacy/civics education activities based on research about and visits to local and state government agencies/institutions — EDD, youth employment programs, consumer rights bureau
- Literacy/civics education activities based on the involvement of adult learners in creating/expanding of academic support programs for children in local elementary schools, outreach and support programs for isolated seniors and/or community members with disabilities

Providers may utilize funds to establish new programs or to supplement existing programs (not necessarily supported through federal funds) designed to serve a specific population in order to inject an EL Civics Education component that includes intergenerational, community asset building and literacy development. Providers are encouraged to incorporate distance learning opportunities into program design. Collaboration with other, mutually supportive programs within the community will be a necessary prerequisite for funding. Appropriate program collaborators will include, but are not limited to, Even Start, Migrant Education, Title I, and CBET programs.

Funds may be utilized by agencies to support child care and transportation for participants in EL Civics Education program enrichment activities.

### 3.4.3 Citizenship Preparation Education

Any eligible provider, as defined in section 6.2 of the California State Plan, may apply for funding to support a program of Citizenship Preparation Education. Eligible providers are not required to have a current ESL or ESL/Citizenship program in operation. In making awards, the State will consider, as one of several factors, the past effectiveness of an eligible provider in preparing adults for citizenship and naturalization, especially with respect to those adults at the lowest levels of literacy.

In program design, eligible providers will include all of the following:

1. Outreach Services – activities that support outreach and recruitment of legal permanent residents who are eligible for citizenship
2. Assessment of Skills – including: (a) formative assessment to determine English language and literacy level of target population in order to place students and focus curriculum and instructional approaches appropriately; and (b) summative assessment to determine progress and learning gains achieved by students
3. Curriculum Development and Instruction – design and delivery of curriculum developed to respond to the specific language and literacy levels of students who are preparing to become citizens
4. Staff Development – activities associated with professional development of instructional program staff to ensure appropriate program design and effective teaching practice in the delivery of citizenship education services
5. Naturalization Preparation and Assistance – activities specifically associated with the application process and preparation for the Immigration and Naturalization Service (INS) interview
6. Regional and State Coordination/Networking – collaborative activities conducted by funded agencies to foster resource and instructional strategy sharing across funded programs
7. Program Evaluation – activities undertaken to determine the effectiveness of the funded agency in providing the activities listed in 1-6 above

Funds may be utilized by agencies to support child care and transportation for participants in Citizenship Preparation Education activities.



# Chapter 4

## Annual Evaluation of Adult Education and Literacy Activities

---

*Section 224(b)(3) requires a description of how the eligible agency will evaluate annually the effectiveness of the adult education and literacy activities based on the performance measures described in Section 212.*

---

### 4.0 Annual Evaluation of Adult Education and Literacy Activities (Section 224(b)(3))

The major focus of the evaluation will be the effectiveness of state and local providers in attaining the core indicator performance levels negotiated with the U.S. Department of Education. CDE will review (1) strategies, processes, and barriers to attaining the performance levels, and (2) quantitative and qualitative data to evaluate the progress and improvement of the Sections 225 and/or 231 grant program in California. CDE will also review quantitative and qualitative data to evaluate the progress and outcomes of the EL Civics Education program.

#### Annual Evaluations

A comprehensive evaluation of the federally-funded *Adult Education and Family Literacy Act* program will be conducted annually and will address the extent to which local providers have implemented each of the twelve required activities specified in Sections 225 and 231. The evaluation will: (1) collect local provider and student performance measures (as specified in Chapter 5), (2) determine the level of student performance improvement, (3) identify program quality, and (4) determine the extent to which populations specified in the *State Plan* were served.

Results of the evaluation will provide (1) relevant information about the effectiveness of the Sections 225 and/or 231 grant program, (2) characteristics of learners participating in the literacy programs, (3) analyses of learner gains, (4) analyses of learner goal attainment, and (5) impact and emerging needs of local providers in meeting their identified performance standards.

Pursuant to Section 212 of the *Adult Education and Family Literacy Act*, each local provider must provide student progress measures obtained from all students who have attended at least 12 hours of instruction in programs receiving Sections 225 and 231 federal supplemental funds.

Documented progress of student performance measures must include at a minimum:

1. literacy skill level improvements in reading, writing, and speaking the English language, English language acquisition, problem solving, numeracy, and other literacy skills;
2. placement in, retention in, or completion of post-secondary education, training, or unsubsidized employment or career advancement;
3. a secondary school diploma or its equivalent; and
4. attainment of student-identified learning goals.

In addition, all Family Literacy Program participants (parents or guardians) must document the same performance measures as indicated in 1-4 above. Performance measures for participating children will be age-appropriate.

All participating local providers will be required to maintain individual student records for all students who have attended 12 hours of instruction. Each record must contain: (1) student identification and demographic information, (2) attendance rates, (3) years of schooling and placement level at program entry, (4) initial learning goals, (5) specified pre and post testing student information, (6) entry and update records, and (7) other specified information necessary (see Section 5.2).

### Further Information

- a. *Monitoring.* CDE will develop a “local provider self-review” instrument (modeled after methods used to identify *Programs of Excellence* and “Promising Practices”). On a sampling basis, CDE staff and identified local provider experts will verify “local provider self-reviews” and monitor the progress of the Sections 225 and/or 231 grant programs and EL Civics Education programs. This will include targeted site visits and technical support to local providers as needed.
- b. *Mid-year Reports.* CDE may require all local providers to submit mid-year reports that reflect participation levels for the first six months.
- c. *Annual (Qualitative) Program Evaluation.* CDE will conduct annual comprehensive qualitative program evaluations. These evaluations will involve all participating local providers and will use surveys of all local providers, as well as involvement of practitioner focus groups, on-site observations, and interviews. They will provide recommendations for state level planning and development activities for the following year, and identify best practices and emerging needs together with the training and technical assistance needed for local providers in implementing high quality, effective instructional programs to the targeted populations specified in the *State Plan*.
- d. *Student Follow-up Studies.* CDE will build on the National Reporting System (NRS) pilot to identify strategies that local providers can implement to follow-up on students who leave the program before completing their goal as well as for students who leave the program after meeting their goals. The pilot will also identify local provider resources needed to produce accurate student outcome data and appropriate documentation to be maintained at the local provider level. If the follow-up portion of the NRS is feasible to implement in California, local providers will be sampled annually beginning 1999-2000. Reports will track participants who have completed a program or skill level.
- e. *Target Population Penetration Studies.* CDE will annually estimate the cumulative “market” penetration of the *Adult Education and Family Literacy Act* Program from 1999 until 2004.

Salient student populations targeted in this *State Plan* include:

- disadvantaged adults having low educational attainment and low English literacy performance (Levels 1 and 2) as estimated by the 1991 National Adult Literacy Survey (NALS), adults and families with low income, and TANF participants;
- adult immigrants and minority ethnic groups demonstrating low literacy rates;
- homeless adults;
- individuals with disabilities;
- incarcerated adults; and
- single parents and displaced homemakers.

# Chapter 5

## Performance Measures

---

*Section 224(b)(4) requires a description of the performance measures described in Section 212 and how such performance measures will ensure the improvement of adult education and literacy activities in the state or outlying area.*

---

### 5.0 Performance Measures (Section 224(b)(4))

Pursuant to Section 212, CDE will establish a comprehensive performance accountability system. To optimize the return on investment of Federal funds in adult education and literacy activities, the accountability system will assess the effectiveness of eligible local providers' achievement in continuously improving their adult education and literacy program delivery funded under this subtitle. All of the performance measures will apply to all funded priorities.

CDE has established a solid basis for the development of a performance accountability system. For many years, California adult education programs have provided a competency based curriculum, instruction, and assessment that focuses on the competencies that enable learners to participate more fully within American society, as citizens, workers and family members. CDE has developed and implemented model curriculum standards for ABE, ESL, which includes ESL-Citizenship, and ASE and standard performance descriptors at each program level. In addition, a Comprehensive Adult Student Assessment System (CASAS) was established that accurately measures progress and mastery of skills and competencies for completion of a program level and promotion to the next instructional level. CASAS provides a standardized reporting scale linked to demonstrated performance of identified skills and competencies at each instructional level. These skill level descriptors and standardized scale score ranges have been incorporated into the National Reporting System pilot project.

CDE has also implemented a local program database reporting system, Tracking of Programs and Students (TOPSpro), that enables local programs to collect and report all student progress and outcome measures. It provides student, class, and program reports that enable local providers to have immediate access to the data for targeting instruction based on student goals and for continuous program improvement. It provides for the collection of the data elements needed to meet the reporting requirements of TANF programs and other workforce related programs.

### 5.1 Eligible Agency Performance Measures (Section 212)

Eligible local provider performance measures will include student goal attainment and demonstrated student improvements in literacy levels within a program level, student completion of a program level, student advancement to higher program levels. Additional performance measures will include receipt of a secondary school diploma or its recognized equivalent, placement in post-secondary education, training, unsubsidized employment, or career advancement.

The tables within this section (5.1) indicate the measures, including CASAS assessment instruments, that are to be used to document improvements in literacy performance. These measures must be used by all providers for all enrolled students for each of the program priorities addressed. These priorities, described in Chapter 3, include: (1) literacy at the NALS Level 1, including ABE and ESL, which includes ESL-Citizenship; (2) literacy at the NALS Levels 1 and 2 - Workplace Literacy, including ABE and ESL, which includes ESL-Citizenship; (3) literacy at the NALS Level 2 - School Based literacy, including ABE and ESL, which includes ESL-Citizenship; (4) Family Literacy; and (5) ASE NALS Level 3 and above. Programs using distance learning as a mode for delivering literacy services must also meet performance measures. In addition to these measures, local providers funded for the family

literacy priority must also document achievement gains of the children as well as the adults who are enrolled in the program.

In accordance with Section 212, CDE will establish levels of performance for each of the core indicators:

1. demonstrated improvements in literacy skill levels in reading and problem solving, numeracy, writing, English language acquisition, speaking the English language, and other literacy skills;
2. placement in, retention in, or completion of postsecondary education, training, unsubsidized employment, or career advancement; and
3. receipt of a secondary school diploma or its recognized equivalent.

They will be expressed in an objective, quantifiable, and measurable form, and will show the progress of the eligible local providers in continuously improving performance.

### 1. Demonstrated improvements in literacy skill levels

CDE has established literacy skill levels for ABE and ESL, which includes ESL-Citizenship, that provide a standardized definition for reporting learning gains within a literacy skill level, completion of each level, and progression to a higher literacy skill level. All participating agencies will assess a student's literacy skill level upon entry into the program using standardized assessments provided by CDE.

**CASAS Standardized Assessment Instruments**

Demonstrated Improvements in Literacy Skill Levels in:	Existing Standardized Assessment Instruments	In Progress/Planned
Reading and Problem Solving	Reading Appraisals Life Skills Reading Employability Reading Beginning ESL Level Completion	Beginning ABE Level Completion Intermediate ABE and ESL Level Completion Advanced ABE and ESL Level Completion
Numeracy	Math Appraisals Life Skills Math Employability Math	Beginning ABE Level Completion Intermediate ABE Level Completion Advanced ABE level Completion
Writing	Functional Writing Assessment--All Levels	
English Language Acquisition	Life Skills Listening Employability Reading Beginning ESL Level Completion	Intermediate ESL Level Completion Advanced ESL Level Completion
Speaking	Oral Communication Applied Performance Appraisal	ESL Oral Language Assessment
Other Literacy Skills	Pre-Employment and Work Maturity Skills Check Lists	

## 2. Placement in, retention in, or completion of post-secondary education, training, or unsubsidized employment

Local providers will be required to obtain this information from their students and document the information on the TOPSpro Student Update Record. Standard definitions and documentation procedures will be identified in the ABE Administration Manual. In some instances, students leave programs before this information can be obtained. To address the accurate data collection of both short term and longer-term student outcomes resulting from participation in adult education programs, CDE will establish several pilot projects, including, but not limited to, the following:

Placement in, retention in, or completion of:	Existing Standardized Reporting Instruments	In Progress/Planned
Postsecondary Education	TOPSpro	Pilot Projects
Training	TOPSpro	Pilot Projects
Unsubsidized Employment	TOPSpro	Pilot Projects
Career Advancement	TOPSpro	Pilot Projects

- Local program reporting project: CDE will build on the National Reporting System (NRS) pilot to identify strategies that local providers can implement to follow-up on students who leave the program before completing their goal as well as for students who leave the program after meeting their goals. The pilot will also identify local provider resources needed to produce accurate student outcome data and appropriate documentation to be maintained at the local provider level.
- State follow-up project: The state follow-up to the NRS pilot will assess the feasibility of using periodic state level surveys and other methodologies to collect data related to longer-term student outcomes resulting from participation in adult education. If the follow-up methodologies are feasible to implement in California, local providers will be sampled annually beginning 1999-2000. Reports will track participants who have completed a program or skill level.
- Data Matching: CDE will identify the issues in developing and using a state level database that requires use of a student social security number to document longer term student outcomes, such as those related to employment.

## 3. Attainment of secondary school diplomas or their recognized equivalent

Participating local providers will track and report the number of learners who pass the GED test, earn credits toward a high school diploma, or attain a high school diploma for those students enrolled in ASE programs. In addition, summary data obtained through CDE statewide reports will document the number of high school diplomas earned through adult schools. The State GED office will report the number of GED Certificates issued each calendar year.

Receipt of a secondary school diploma or GED	Existing Standardized Reporting Instruments
High School Diploma	TOPSpro CDE California Basic Education Data System (CBEDS)
GED Certificate	CDE State GED Reports

## 5.2 Additional Indicators

Participating local providers will report additional indicators of performance for student identified outcomes on Student Entry and Update Records. Entry Record information includes: instructional program, instructional level, reason for enrollment, special programs enrollment, personal status, and, labor force status. Update information includes: instructional program and level (at the time of update); student's status in the instructional program; learner results pertaining to work, personal/family, community, and education; reason for leaving early; sub-sections of GED passed; and high school credits earned. Additional information may be required for workplace literacy and family literacy programs.

## 5.3 Levels of Performance for First Three Years

The following Levels of Performance for the first three years are based on student progress and outcome data from federally funded ABE 321 providers in California over the past several years. During the first year of the five-year state plan, local providers will begin collecting progress and level completion data on students throughout the program year. Local providers will use the data gained during the first year of the program to reassess and adjust their projected levels of performance for the second program year. Likewise, third year performance level projections will be based on the prior year's data.

**ABE Literacy Skills–Adjusted Levels of Performance**

ABE	Ranges	Content Areas						Gains	Projected Performance Levels			
Skill Level	CASAS Scale	Reading	Listening	Speaking	Writing	Problem Solving	Numeracy	CASAS Point Scale	1999-2000	2000-2001	2001-2002	2002-2004
Beg. Literacy	200 & below	x	o	o	o	o	x	3-5 pt.	13-20%	15-23%	17-26%	TBN*
Beg. Basic Skills	201-210	x	o	o	o	o	x	4-6 pt.	20-30%	22-33%** cert.	24-36% cert.	TBN
Low Inter. Basic Skills	211-220	x	o	o	o	o	x	3-5 pt.	20-30%	22-33%	24-36%	TBN
High Inter. Basic Skills	221-235	x	o	o	o	o	x	3-5 pt.	22-33%	24-36% cert.	26-39% cert.	TBN
Low ASE***	236-245			o	o			TBN	TBN	TBN	TBN	TBN
High ASE	246+					o		TBN	TBN	TBN	TBN	TBN

x = State approved standardized tests

o = Local provider documentation based on standardized protocols, established criteria, and performance standards

\*TBN = To Be Negotiated with USDOE

\*\*Cert. Test = Level Completion Test Passed

\*\*\*ASE = Adult Secondary Education

### ESL Literacy Skills—Adjusted Levels of Performance

ESL	Ranges	Content Areas						Gains	Projected Performance Levels			
Skill Level	CASAS Scale	Reading	Listening	Speaking	Writing	Problem Solving	Numeracy	CASAS Point Scale	1999-2000	2000-2001	2001-2002	2002-2004
Beg. Literacy	150-180	x	x		o			5-7 pt.	18-27%	20-30%	22-33%	TBN*
Beg. Low	181-190	x	x		o			5-7 pt.	20-30%	22-33%	24-36%	TBN
Beg. High	191-200	x	x	o	o	o		5-7 pt.	22-33% Cert.**	24-36% Cert.	26-36% Cert.	TBN
Inter. Low	201-210	x	o	o	o	o	x	4-6 pt.	22-33%	24-36%	26-36%	TBN
Inter. High	221-235	x	x	o	o	o	x	3-5 pt.	22-33%	24-36% Cert	26-36% Cert.	TBN
Adv. Low	221-235	x	x	o	o	o	o	3-5 pt.	18-27%	20-30%	22-33% Cert.	TBN
Pgm. Exit	236+	x	x	o	o	o	o	TBN	TBN	TBN	TBN	TBN

x = State approved standardized tests

o = Local provider documentation based on standardized protocols, established criteria, and performance standards

\*TBN = To Be Negotiated with USDOE

\*\*Cert. Test = Level Completion Test Passed

## 5.4 Factors (Section 212(b)(3)(A)(iv))

Student progress and outcome data in California indicate significant differences in levels of performance based on individual student characteristics. These characteristics include initial literacy skill level upon entry into the program, literacy levels of limited English proficient students in their home language, the number of years of education completed before entering the adult education program, learning and developmental disabilities, and other demographic and socio-economic variables. California serves large numbers of students who are most in need, including immigrants with low literacy skills in their native language as well as in English, institutionalized adults, adults in homeless shelters, migrant workers, and those that are unemployed or underemployed in hourly, minimum wage jobs.

Service delivery factors also affect performance such as the intensity, duration, and quality of the instructional program; convenience and accessibility of the instructional program; ability of the program to address specific learning goals and provide targeted instruction in a competency-based context related directly to student goals.

California serves an extremely diverse adult student population with a broad range of skill levels and different short and long term learning goals. Many students initially enter the program with a short-term goal but as they make progress toward their goal and experience success, they remain in the program to achieve longer term learning goals. Some, such as TANF recipients and the homeless, may be unable to attend an instructional program on a regular basis because of time limits on educational participation. As a result, the performance measures must address both short and long-term goals, length of participation, initial skill levels at program entry, and use multiple student performance measures related to student goals.

Based on student characteristics and service delivery factors, CDE has identified expected levels of performance for each of the core indicators provided for ABE and ESL, which includes ESL-Citizenship, programs. The projected skill levels for each of these programs are indicated for the first three years covered by this *State Plan*. CASAS Scale Score ranges at each level address the significant differences in performance for the special and diverse populations that are served by local providers. Local providers must be encouraged to continue to serve the least educated and most in need, and to evaluate with measures of performance that are most appropriate for the populations they serve. Over the five-year period of this *State Plan*, these ranges will be analyzed and adjusted as appropriate to ensure that California continues to promote continuous improvement in performance on appropriate measures and ensure optimal return on the investment of Federal funds.

### **Further Information—Annual Report**

CDE will annually prepare and submit to the Secretary a report on the progress of California in achieving the stated performance measures, including information on the levels of performance achieved on the core indicators of performance. The report will include the demographic characteristics of the populations served, the attainment of student goals, progress on the core indicators of performance by program and program level, and learning gains within literacy levels, as well as level completion and movement to higher instructional levels. In the third year of the State plan, CDE will begin to report the number of Certificates of Proficiency awarded by program level. Sub-set analyses of special populations groups will be provided and adjustments to levels of performance for these groups may be recommended based on the findings.

Levels of performance achieved for other core indicators will include student outcomes related to post-secondary education, training, unsubsidized employment or career advancement, and receipt of a high school diploma or GED Certificate.

## **5.5 Performance Measures for English Literacy and Civics Education**

Funded providers will establish observable, measurable, and meaningful goals and objectives for participants in programs that are either uniquely funded by EL Civics Education funds or supplemented by them.

All funded providers will use the CASAS assessment, evaluation, and data collection system to document participant outcomes as required in Section 212. The State will provide funded agencies all the necessary software and test forms necessary for efficient implementation of this assessment process. Given the innovative nature of the EL Civics Education initiative and the range of targeted outcomes that extend beyond literacy gains that can be easily captured on pencil and paper tests, in addition to CASAS assessments, providers must also develop and/or utilize alternative strategies for documenting student outcomes. All such strategies must yield clearly identified observable, measurable, and meaningful outcomes. Providers receiving supplemental EL Civics Education funds will be required to submit a qualitative narrative report that documents the outcomes that were achieved through access to this additional allocation.

All funded programs will be required to have participants submit demographic and other student outcome information through completion of student Entry and Update records. The TOPSpro data collection system collects and transmits the required data in an acceptable format.



# Chapter 6

## Procedures and Process of Funding Eligible Providers

---

*Section 224(b)(7) requires a description of how the eligible agency will fund local activities in accordance with the considerations described in Section 231(e).*

---

### 6.0 Procedures and Process of Funding Eligible Providers

(Section 224(b)(7))

#### 6.1 Applications for Section 231/225 Grants

Local providers will be eligible to receive funds if they meet the following criteria:

1. The applicant will provide evidence of financial internal controls, fiscal solvency, and a sound fiscal accounting system that provides auditable cost allocations and financial records.
2. The applicant will meet the certification requirements regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace environment. (34 CFR Part 82, 34 CFR Part 85, and Government-wide Requirements for Drug-free Workplace grants)
3. The applicant will provide both a State-prescribed pre-test and a post-test of reading or life skills achievement to Adult Basic Education (ABE), English as a Second Language (ESL), which includes ESL-Citizenship, Family Literacy (FL), and Workplace Literacy (WL) students. The procedures for collecting data will be specified by CDE. The applicant will report to the Adult Education Office pre- and post-test scores of students. Since the process of obtaining high quality data is an incremental one that takes into account logistical constraints and the motivation of students and teachers alike, the applicant will agree to follow State guidelines that may be revised from year to year with respect to accountability and data collection procedures. ASE student achievement will be tracked by attainment of a diploma or equivalency, job placement or retention, and entry into postsecondary education.
4. The applicant will describe the projected goals of the program with respect to participant educational achievement, and how the applicant will measure and report progress in meeting its goals.
5. The applicant will list current programs, activities, and services that receive assistance from federal, State, and local sources in the area proposed to be served by the applicant.
6. The applicant will describe cooperative arrangements, including arrangements with business and industry and volunteer literacy organizations that have been made to deliver services to adults.
7. The applicant will describe how the applicant's proposed program provides guidance and supportive services while not duplicating programs, services or activities made available to adults under other federal, State and local programs.
8. The applicant will describe its past effectiveness in providing services, especially with respect to learning gains demonstrated by educationally disadvantaged adults.
9. The applicant will describe the degree to which the applicant will coordinate and utilize other literacy and social services available in the community or institution.

10. The applicant will explain its commitment to serve individuals in the community or institution that are most in need of literacy services.
11. The applicant will spend not more than 5 percent of the grant or contract on administration, unless a different rate has been approved by CDE.
12. The applicant will provide direct and equitable access to all Federal funds provided under the *Act* by ensuring that information, applications, and technical assistance are available to all eligible applicants.
13. Any applicant not previously funded with WIA, Title II funds, will provide assurance it will meet state-imposed program participation criteria that include, but not limited to, attendance at CDE-sponsored training related to the Comprehensive Adult Student Assessment System (CASAS), budget development, and program development.

## 6.2 Eligible Providers (Section 203(5))

Eligible providers for a grant or interagency contract that propose a program in Adult Basic Education (ABE), Adult Secondary Education (ASE), English as a Second Language (ESL), which includes ESL-Citizenship, and/or Family Literacy Service (FLS), include the following:

1. A local education agency
2. A community-based organization with demonstrated effectiveness
3. A volunteer literacy organization with demonstrated effectiveness
4. An institution of higher education
5. A public or private nonprofit agency
6. A library
7. A public housing authority
8. A nonprofit institution that is not described in (1) through (7) and has the ability to provide literacy services to adults and families
9. A consortium of the agencies, organizations, institutions, libraries, or authorities described in (1) through (8)
10. The California Department of Developmental Services, the Department of Corrections, the California Youth Authority, and the California Conservation Corps
11. A prison, jail, halfway house, community-based rehabilitation center, or any other similar institution designed for the confinement or rehabilitation of criminal offenders

Whenever appropriations under this program exceed the amount available in the fiscal year, CDE will give preferences to those applicants who have demonstrated or can demonstrate a capability to recruit and serve those individuals most in need and hardest to serve.

### 6.3 Notice of Availability

CDE will announce the availability of funds through the Outreach and Technical Assistance Network's (OTAN) Web based communications system, through direct mailing of notification of availability of applications to all known eligible providers that participated in the previous fiscal years, and to those known adult education providers that have programs but did not participate.

### 6.4 Process of Funding Eligible Providers for 231/225 Grants

Pursuant to Section 232 of the *Adult Education and Family Literacy Act*, local adult education providers and state agencies desiring a grant or contract under this subtitle must submit an application or proposal containing a description of how funds awarded under this subtitle will be spent, and a description of any cooperative arrangements the eligible provider has with other agencies, institutions, or organizations for the delivery of adult education and literacy activities. Eligible providers are listed in Section 6.2.

CDE will distribute an announcement of pending available funds along with an application for funding. An adult education provider who wishes to obtain funding must develop a formal response to each part contained in the application or proposal. Reviewers of the applications and proposals will note the thoroughness of the proposed plan by specific criteria and will recommend that applicants deemed to have fully and adequately responded to the application review criteria be considered for funding.

From funds made available under Section 211(b)(1), California will award grants and contracts on a competitive basis to eligible providers within the State to develop, implement, and improve adult education and literacy activities. Each eligible provider receiving a grant or contract under this subtitle shall establish one or more programs that provide instruction or services in one or more of the following categories: (1) adult education and literacy services, including workplace literacy services; (2) family literacy services; or (3) English literacy programs.

CDE will use the following process to distribute funds to approved applicants:

1. CDE will set aside 82.5 percent of the State allocation for local assistance purposes. The State allocation will be distributed to support *State Plan* objectives in the following ways:

#### State Allocation

Local Assistance Grants 82.5%				Leadership Activities 12.5%	State Administration 5%	TOTAL 100%
Priorities 1, 2, 3 Literacy NALS Levels I and II 59.45%	Priority 4 Family Literacy 7.4%	Priority 5 Adult Secondary 7.4%	Section 225 Corrections Education and other Institutionalized Individuals 8.25%	<ul style="list-style-type: none"> <li>• Technology</li> <li>• Distance Learning</li> <li>• Assessment and Accountability</li> <li>• Staff Development</li> </ul>	<ul style="list-style-type: none"> <li>• CDE Staff</li> <li>• Administration costs</li> </ul>	

2. Local assistance grants and contracts will be based on the following greatest need/hardest-to-serve priorities:
  - a. Populations with greatest need and hardest to serve are those performing below the eighth grade level. In this population, there are three levels of priority. Level 1 priority consists of those individuals who score below the fifth grade level as measured by a CASAS score of under 210. Level 2 and Level 3 priorities consist of those individuals below the eighth-grade level as measured by a CASAS score of 235 being served in classes at agency sites or in the workplace. No less than 80 percent of the local applicants' funds will be allocated for grants or contracts for this population (59.45% of the total State basic grant).
  - b. Populations with eighth grade performance, but not having a high school diploma or equivalent. No more than 10 percent of the local applicants' funds will be allocated for grants or contracts for this population (7.4% of the total State basic grant).
  - c. Populations in need of family literacy skills and training who collaborate with corresponding programs of literacy service for children. No more than 10 percent of the local applicants' funds will be allocated for grants or contracts for this population (7.4% of the total State basic grant).
  - d. Incarcerated populations (in county jails or prisons) or those eligible adults in state hospitals performing below the high school graduation level (Section 225). No more than 10 percent of the total local assistance funds for the state will be allocated for grants or contracts for these populations (8.25% of the total State basic grant).
3. Funds will be awarded on the basis of the core performance measures attained. Grantees will not receive funds which exceed the total amount of their grant or contract.
4. Grant applications or contract proposals that are accepted for funding will be approved for funding July 1, 1999. Leading up to the approval date, key date benchmarks are:

Year One 1999-2000

- a. March 22, 1999 – Notification of availability of funding
- b. May 28, 1999 – Deadline for submitting applications to CDE
- c. June 10, 1999 – Completion of application review, scoring and ranking
- d. June 20, 1999 – Deadline for appeals

Year Two 2000-2001

- a. March 24, 2000 – Notification of availability of funding
- b. May 26, 2000 – Deadline for submitting applications to CDE
- c. June 9, 2000 – Completion of application review, scoring and ranking
- d. June 23, 2000 – Deadline for appeals

Year Three 2001-2002

- a. March 16, 2001 – Notification of availability of funding
- b. May 4, 2001 – Deadline for submitting applications to CDE
- c. May 25, 2001 – Completion of application review, scoring and ranking
- d. June 15, 2001 – Deadline for appeals

Year Four 2002-2003

- a. March 8, 2002 – Notification of availability of funding
- b. April 26, 2002 – Deadline for submitting applications to CDE
- c. May 16, 2002 – Completion of application review, scoring and ranking
- d. May 31, 2002 – Deadline for appeals

Year Five 2003-2004

- a. March 7, 2003 – Notification of availability of funding
- b. April 25, 2003 – Deadline for submitting applications to CDE
- c. May 16, 2003 – Completion of application review, scoring and ranking
- d. May 30, 2003 – Deadline for appeals

## 6.5 Evaluation of Applications for 231/225 Grants (Section 231(e))

Grant applications and proposals must meet the requirements of Section 231(e) and Chapter 6, page 6.1, Section 6.1 of this *State Plan*. In addition, grant reviewers will determine that the applicant agency is able to complete the following:

1. Local providers will establish measurable and meaningful goals established for participants. The measurable performance levels for participant outcomes, including levels of literacy achieved connect to challenging state performance levels for literacy proficiency.

CDE has utilized the services of CASAS, an assessment, evaluation, and data collection system with a national reputation in providing measurable performance standards for program participants. Measurable outcomes will be tied to realistic outcome expectations for specific target populations.

2. Local providers will demonstrate past effectiveness in improving the literacy skills of adults and families, based on the performance measures established under Section 212 by the agency. Eligible providers must meet or exceed these performance measures, especially with respect to those adults on the lowest levels of literacy. Student goals and skill attainment must be tracked and reported to CDE on a regular basis.
3. Local providers will demonstrate a commitment to serving the most-in-need, including students who are low income or have minimal literacy skills. The program offerings must reflect the needs of the local community or institution in terms of literacy and basic skills needs. This commitment can be demonstrated by an analysis of community or institution demographics as compared to the types of programs offered.
4. Local providers will provide instruction that is of sufficient intensity and duration to achieve substantial learning gains. Providers must describe the pressing need of target groups, such as the homeless, which require effective and intense short-term ABE competencies, literacy based pre-employment skills and computer literacy competencies, when assessing priorities.
5. Local providers will select literacy and adult education practices that are based upon a solid foundation of research and effective educational practices. CDE will assist eligible applicants to review model programs, such as *Programs of Excellence*, along with those developed through state leadership demonstration projects, and, when available, recommendations from the National Institute for Literacy (NIFL).
6. Local providers will make effective use of technology, including computers, in the delivery of adult education and literacy services. CDE will request eligible applicants to describe how technology, including the use of computers, is used to enhance instructional strategies in approved programs. Among the most competitive agencies will be those that incorporate basic computer literacy instruction within each of the major program components, along with computer assisted and distance learning programs.
7. Local providers will use real-life learning contexts to ensure that students will possess the required skills to compete in a global economy and exercise the rights and responsibilities of citizenship.

The California Adult Education Office has historically emphasized such practical instructional strategies. Eligible applicants will therefore be required to demonstrate how the proposed program curricula is consistent with this priority. Applicants will state program outcomes in terms of the student's ability to demonstrate mastery of transferable skills that are linked to student goals.

8. The training and experience of local providers' program instructors, counselors, and administrators will meet high standards. CDE will require eligible applicants to demonstrate that staff possesses the necessary expertise to serve the target student population. There are many adult target populations characterized by deficiencies that must be effectively addressed if these populations are to be able to compete in a global economy and exercise the rights and responsibilities of citizenship. Staff must possess knowledge and cultural sensitivity toward such populations in order to develop effective instructional strategies.
9. Local providers will effectively coordinate community resources and establish strong linkages to elementary and secondary schools, postsecondary institutions, one-stop centers, job training programs, and social service agencies. Eligible applicant agencies shall demonstrate the capacity to link low-income students with needed programs and services. Collaborations such as those outlined in Chapter 9 will expand the ability of providers to ensure services.
10. Local providers will provide flexible scheduling and support services, including child care and transportation, to enable students to attend and complete programs. Workplace literacy providers will offer flexibility in selecting site locations and schedules to accommodate working adults.

CDE will give priority to eligible applicants who offer flexible schedules, child care, transportation, and other supportive services. Support services such as child care and transportation may be provided directly by the agency or may be provided through collaborations with other agencies, including one stop shops, social service agencies and job training agencies.

11. Local providers will maintain a high-quality management information system (MIS) that has the capacity to report client outcomes and to monitor program performance against state performance measures.

The TOPSpro data collection system has been developed to collect and transmit the required data in an acceptable format.

12. Local providers will be able to demonstrate a need for English literacy programs in the local community or institution. The need in the local community or institution for additional English literacy programs, as identified by local needs assessments or demographic studies, must support the expenditure for federal funds.

## 6.6 Payment and Audit of Local Assistance Funds

### A. Payment of Local Assistance Funds

1. Under any grant awarded by the State Department of Education under this item to a qualifying community-based organization to provide adult basic education in English as a Second Language and English as a Second Language-Citizenship classes, the department shall make an initial payment to the organization of 25 percent of the amount of the grant.
2. In order to qualify for an advance payment, a community-based organization shall submit an expenditure plan and shall guarantee that appropriate standards of educational quality and fiscal accountability are maintained.
3. Reimbursement of claims shall be distributed on a quarterly basis.
4. The State Department of Education shall withhold 10 percent of the final payment of a grant as described in this provision until all claims for that community-based organization have been submitted for final payment.

## B. Audit of Local Assistance Funds

CDE will implement annual Budget Act language regarding audits. Current 2000-01 Budget Act language mandates the following:

1. Notwithstanding any other provision of law, all nonlocal educational agencies receiving greater than \$300,000 pursuant to this item shall submit an annual organizational audit to the CDE's, Office of External Audits.
  - a. All audits shall be performed by one of the following:
    - (1) a certified public accountant possessing a valid license to practice within California;
    - (2) a member of CDE's staff of auditors; or
    - (3) in-house auditors, if the entity receiving funds pursuant to this item is a public agency, and if the public agency has internal staff that performs auditing functions and meets the tests of independence in Standards for Audits of Governmental Organizations, Programs, Activities and Functions issued by the Comptroller General of the United States.
  - b. The audit shall be in accordance with State Department of Education Audit guidelines and Office of Management and Budget Circular No. A-133, Audits of Institutions of Higher Education and Other Non-Profit Institutions.
  - c. Non-LEA entities shall submit the annual audit no later than six months from the end of the agency fiscal year.
  - d. If, for any reason, the contract is terminated during the contract period, the auditor shall cover the period from the beginning of the contract through the date of termination.
  - e. Non-LEA entities receiving funds pursuant to this item shall be held liable for all CDE costs incurred in obtaining an independent audit if the contractor fails to produce or submit an acceptable audit.
2. Notwithstanding any other provision of law, CDE shall annually submit to the Governor, Joint Legislative Budget Committee, and Joint Legislative Audit Committee limited scope audit reports of all sub-recipients it is responsible for monitoring that receive between \$25,000 and \$300,000 of federal awards, and that do not have an organizational wide audit performed. These limited scope audits shall be conducted in accordance with the State Department of Education Audit guidelines and Office of Management and Budget, Circular No. A-133. CDE may charge audit costs to applicable federal awards, as authorized by OMB, Circular No. A-133 Section 230(b)(2).
3. The limited scope audits shall include agreed upon procedures conducted in accordance with either AICPA generally accepted auditing standards or attestation standards, and address one or more of the following types of compliance requirements:
  - a. allowed or unallowed activities;
  - b. allowable costs and cost principles;
  - c. eligible matching;
  - d. level of effort;
  - e. earmarking; and
  - f. reporting.

## 6.7 Special Rule (Local Administrative Expenditures)(Section 223(c))

CDE limits local providers to a 5 percent limit for administrative costs. However, the *Adult Education and Family Literacy Act* allows CDE to negotiate with local providers so that they can exceed the 5 percent limit for administrative costs — specified in Section 233(a)(2) which are restricted to planning, administration, personnel development, and interagency coordination. CDE will negotiate with any local provider on a case-by-case basis to increase the administrative cost above the 5 percent limit for agencies who serve fewer than 100 adults or that can demonstrate a compelling need for higher administrative costs. For these providers, additional funding may be allocated to cover planning, administration, personnel development and interagency coordination.

## 6.8 Procedures and Process of Funding Eligible Providers for EL Civics Education

### Application Requirements

To qualify for funding, eligible local providers as listed in 6.2 of the California State Plan will respond to the following application criteria:

1. Applicants for English Literacy and Civics Education Program Implementation will utilize funds to design and implement a dedicated EL Civics Education program. Applicants for EL Civics Education Program Enrichment Activities will utilize funds to supplement and enhance existing programs. Applicants for Citizenship Preparation Education will utilize funds to design and implement a program of basic education for citizenship and naturalization preparation for legal permanent residents who are eligible for naturalization. Applications will address all of the following: (a) outreach services; (b) assessment of skills; (c) curriculum development and instruction; (d) professional development; (e) naturalization preparation and assistance; (f) regional and state coordination; and (g) program evaluation.
2. Applicants for all components are encouraged to describe proposed strategies to incorporate distance learning opportunities into program design, as appropriate.
3. The applicant will describe the projected goals of the program with respect to participant educational achievement and enhanced civic participation, and how the applicant will measure and report progress in meeting its goals.
4. The applicant will describe cooperative arrangements, including arrangements with business and industry, volunteer literacy organizations and other mutually supportive education programs such as Even Start, Title 1, Migrant Education and CBET Programs that have been made to deliver services to adults.
5. The applicant will describe how the proposed component implementation provides program enhancement, deepening, and enrichment while avoiding duplication of services that are already available in the local community.
6. The applicant will describe its past effectiveness in providing services, especially with respect to civics and language and literacy development, and its success in meeting or exceeding statewide performance measures.
7. The applicant will describe the degree to which it will coordinate and utilize other educational and social services available in the community.
8. The applicant will explain its commitment to serve language learners who are the most in need of EL Civics Education activities.
9. The applicant will spend not more than five percent of awarded funds on administration, unless a different rate has been approved by CDE.
10. The applicant will spend federal funds only on allowable costs identified in the *Education Department General Administrative Regulations (EDGAR)*.



## Funding Procedures

CDE will distribute an announcement of pending available funds in the form of a Request for Applications (RFA). An adult education provider that wishes to obtain EL Civics Education funding must develop a formal response for each component area for which funding is requested. Reviewers of the RFAs will rank proposals against the specific scoring criteria derived from the 12 considerations given in Section 231(e) and listed in Section 6.5 of the California State Plan. Highest ranked proposals will be funded.

California will award EL Civics Education funds on a competitive basis to eligible providers within the state to develop one or more of the following EL Civics Education activity components: (1) English Literacy and Civics Education Program Implementation, (2) English Literacy and Civics Education Program Enrichment Activities, and/or (3) Citizenship Preparation Education.

All funds will be awarded based on agency performance. CDE will reimburse agencies funded for English Literacy and Civics Education Program Implementation and English Literacy and Civics Education Program Enrichment Activities on the basis of attainment of program goals and objectives that are identified and negotiated as part of the application and approval process.

CDE will reimburse agencies funded for Citizenship Preparation Education, through benchmark payments that are based on learner outcomes as demonstrated by individual student learning gains and instructional level movements on standardized assessment instruments. Programs funded for this component will also have the opportunity to earn additional benchmark payments through achievement of other program goals, such as citizenship attainment.

CDE will set aside no less than 82.5 percent of the State EL Civics Education allocation for local assistance projects. The allocation will be distributed to support the objectives of the EL Civics Education funds in the following ways:

### EL Civics Education State Allocation

Local Assistance Grants no less than 82.5%			Leadership Activities no more than 12.5%	State Administration no more than 5%	Total 100%
Component 1	Component 2	Component 3	Resource Development Mini-Grants	Short-term, special assignment, technical assistance field consultants CDE staff positions	
English Literacy and Civics Education Program Implementation	English Literacy and Civics Education Program Enrichment Activities	Citizenship Preparation Education	EL Civics Education Evaluation, funded up to \$250,000		
Projects to be funded up to \$150,000 or up to 666 benchmarks	Projects to be funded up to \$65,000 or up to 288 benchmarks	Projects to be funded up to \$225,000 or up to 1,000 benchmarks	Projects to be funded up to \$50,000 or up to 222 benchmarks		

Requests for EL Civics Education funding that are ranked high enough to merit funding for the calendar year 2001 will be approved for funding December 1, 2000. Leading up to the approval date, approximate key date benchmarks are:

#### Year One 2000-2001

- |                                      |                |
|--------------------------------------|----------------|
| 1. Request for Applications released | 8/18/00        |
| 2. Technical Assistance workshops    | 8/23 – 8/29/00 |

- |   |                |
|---|----------------|
| 3. Deadline for written questions, 4:00 p.m.                  | 9/27/00        |
| 4. RFA Submission deadline 4:00 p.m. at 660 J, Suite 400      | 9/29/00        |
| 5. Review, rate, and ranking of applications                  | 10/04-10/06/00 |
| 6. Posting of intent to award grants to successful applicants | 10/27/00       |
| 7. Appeals deadline   | 11/10/00       |
| 8. Grant implementation                                       | 2/1/01         |

#### Year Two 2001- 2003

- |   |                |
|---|----------------|
| 1. Request for Applications released                          | 09/04/01       |
| 2. Technical Assistance workshops                             | 9/10-9/21/01   |
| 3. Deadline for written questions, 4:00 p.m.                  | 10/05/01       |
| 4. RFA Submission deadline 4:00 p.m. at 660 J, Suite 400      | 10/08/01       |
| 5. Review, rate, and ranking of applications                  | 10/15-10/31/01 |
| 6. Posting of intent to award grants to successful applicants | 11/16/01       |
| 7. Appeals deadline   | 12/07/01       |
| 8. Grant implementation                                       | 02/01/02       |

### Evaluation of Applications

EL Civics Education applications must meet the application requirements listed at the beginning of this section. In addition, all applications must meet the requirements of Section 231(e). Grant reviewers will score and rank applications on the applicant agency's ability to meet the considerations in 231(e) as listed in Section 6.5 of the California State Plan.

# Chapter 7

## Public Participation and Comment

---

*Section 224(b)(9) requires a description of the process that will be used for public participation and comment with respect to the State Plan.*

---

### 7.0 Public Participation and Comment (Section 224(b)(9))

#### 7.1 Description of Activities

CDE held three public hearings on the proposed *California State Plan* for Adult Education and Family Literacy. Educational providers that are currently providing one or a combination of adult education programs (ABE, ESL, English as a Second Language-Citizenship, and literacy services to incarcerated adults, adult secondary education, and family literacy) were asked to present up to three minutes of oral comment, supported by a written statement, at any one of the hearings or to submit written comments to CDE. The *State Plan* was available via the Internet at: <http://www.otan.dni.us/webfarm/stateplan/>.

CDE asked agencies that preferred to send or fax written comments to CDE no later than Monday, December 14, 1998, to:

Joan Polster, Administrator  
Adult Education Office  
California Department of Education  
560 J Street, Suite 290  
Sacramento, CA 95814  
FAX (916) 228-2676  
e-mail [stateplan@otan.dni.us](mailto:stateplan@otan.dni.us)

CDE conducted the following public hearings to obtain input to the *State Plan*:

**December 8, 1998 @ 10:00 a.m.**

Ronald Reagan State Building  
300 South Spring Street  
Los Angeles, CA 90013  
Contact: Venice Jenkins @ (800) 488-1788

**December 9, 1998 @ 10:00 a.m.**

Garden Grove Unified School District  
Chapman Adult Education Center  
11852 Knott Street  
Garden Grove, CA 92840  
Contact: Karen Dennis @ (714) 564-5105

**December 10, 1998 @ 10:00 a.m.**

Employment Development Building  
722 Capitol Mall  
Auditorium Room 1098  
Sacramento, CA 95814  
Contact: Venice Jenkins @ (800) 488-1788

## Summary of Public Participation

1. The following agencies were represented at the three public hearings:
  - Adult Schools
  - Community Colleges
  - Community Based Organizations
  - Library Literacy Programs
  - Legislative Advocacy Groups
  - California Youth Authority
  - California Department of Corrections
  - California Department of Education
  - State Hospitals
2. The following agencies visited the online version of the *State Plan* and viewed a total of 3,644 pages.
  - Adult Schools
  - Community Colleges
  - Library Literacy Programs
  - Legislative Advocacy Groups
  - Corrections
3. Written responses were received from the following agencies:
  - Adult Schools
  - Community Colleges
  - Library Literacy Programs
  - Legislative Advocacy Groups
  - Corrections
  - County Offices of Education
  - Parents Advocacy Groups
  - Professional Organizations
4. Policies and Issues Committee, composed of representatives of adult education professional organizations, provided input and guidance to CDE.
5. The Adult Literacy Workgroup, composed of representatives of adult schools, library literacy programs, community-based organizations, and community colleges, worked to develop strategies to serve target populations.
6. The State Collaborative Literacy Council, composed of representatives from the California Conservation Corps, California Department of Corrections, California Department of Education, California State Library, Chancellors Office of California Community Colleges, Employment Development, and the Governor's Office of the Secretary for Education, reviewed the *State Plan* and provided comments.
7. The State Job Training Coordinating Council — composed of representatives of private business; local government; county government; state government; the California Department of Education; Manpower Temporary Services; the Business, Transportation and Housing Agency; the California Community Colleges; California Health and Human Services Agency; San Diego County SER/Jobs for Progress, Inc.; the City of Placentia; Proteus Training and Employment, Inc.; Riverside County Special Education Local Plan Area (SELPA); the Pacific Gateway Group; Orange County Business Council; Alliance for Education; Sacher Properties; Barbara Shaw Seminars; Operating Engineers Local Union 3; Public Performance Information Systems; London Consulting Group; Williams and Wallace Management Consultants; and the Corporate Training and Economic WVMCCD — reviewed the *State Plan* and provided comments.

## 7.2 Governor's Comments

To be added after Governor's review.

## 7.3 State Job Training Coordinating Council Letter of Support

The State Job Training Coordinating Council (SJTCC) reviewed the *State Plan* and found it to be in alignment with their objectives for Titles I and III of the *Workforce Investment Act*. The Council communicated their approval through a letter of support (see pages 7.4 and 7.5 for a copy of the letter).

# Chapter 8

## Description of Program Strategies for Populations

---

*Section 224(b)(10) of the Adult Education and Family Literacy Act requires a description of how the eligible agency will develop program strategies for populations that include, at a minimum, low income students, individuals with disabilities, single parents and displaced homemakers, and individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency.*

---

### 8.0 Description of Program Strategies for Populations (Section 224(b)(10))

#### Strategies

The following statewide incidence rates will be established to determine the distribution of local assistance funds available for use in each county, according to the proportion of adults who reside in each county who:

- are within NALS Level 1;
- are within NALS Level 2;
- are TANF participants;
- are over 18 and do not possess a high school diploma; and
- are non-English or limited English proficient.

The above criteria will be used in order to address the following target populations.

#### ***a. Disadvantaged Adults***

Given that income is directly correlated to educational levels and the greatest need for adult basic education services is found among the poor and hard to serve, CDE will develop statewide outreach efforts that promote participation in adult education programs. For example, television and radio ads will be considered to correctly identify education as the most effective vehicle for escaping poverty in America. The advertisements will promote the value of ABE as the point of departure for attaining a GED, technical training, and higher education. Computer literacy will be provided as a strategy for building bridges between the poor and the larger community. Participating agencies will work with their local One Stop Center to identify current and planned collaborations with community resources agencies in the areas of employment, job training, vocational evaluation, income assistance, client advocacy, and related services.

The California Distance Learning Project (CDLP), Outreach and Technical Assistance Network (OTAN), and the California Adult Literacy Professional Development Project (CALPRO) will develop and offer workshops and technical assistance to prepare instructors to implement effective strategies to ensure that workplace literacy programs will be successful in offering post employment services.

#### ***b. Adult Immigrants***

In California, adults with limited English proficiency face multiple challenges to their survival, and they have immediate needs for English language skills. These adults need language instruction programs that respond specifically to their needs and goals. Their learning experience will permit them to communicate immediately with English speakers, learn about the cultures and customs of the United States, gain employment or improve job skills, pass citizenship tests, complete their academic education, and maintain their roles as parents and adults without having to rely on others as interpreters. The continued use of the *Crossroads Café* instructional

videos, developed for distance learning and family literacy, will be a major educational tool for ESL students learning English.

Adult education providers will use varying strategies to assist the ESL student, which includes ESL-Citizenship. They will develop lessons that are student-centered and respond to the diverse student goals, which will include preparation for employment, citizenship, parenthood, and self sufficiency. *Model Program Standards for English-as-a-Second Language Programs* include the following instructional strategies:

- selecting content related to student goals;
- providing opportunities for meaningful interaction;
- using a variety of grouping strategies;
- offering activities that address the various learning modalities;
- integrating language and culture;
- providing activities for the application of critical thinking skills;
- using techniques that help implement effective instructional practices.

Staff development will be offered by CDLP, OTAN, and CALPRO to assist with the implementation of model program strategies for ESL programs, including ESL-Citizenship, distance learning, and family literacy.

### **c. Homeless Adults**

Projects in California and Massachusetts have confirmed the importance of shelter-based education. Given their extreme poverty, homeless persons often cannot afford to travel to mainstream adult education programs.

Program strategies for the homeless will include the following considerations:

- Instruction plans related to practical tasks
- Everyday experiences integrated into instruction
- Instruction on self-esteem and life skills
- Program locations accessible to the homeless

Workplace education programs will include components to ensure homeless adults are prepared with skills both for entry into the workforce and retention in employment.

CDE, CDLP, OTAN, and CALPRO will work to support collaboratives and offer technical assistance and training in order to prepare teachers to effectively deliver instruction.

### **d. Individuals with Disabilities**

Individuals with disabilities fall into five main categories: individuals with cognitive disabilities (either developmental or learning disabilities), physical disabilities (orthopedic), sensory disabilities (hearing or sight disabled), medical disabilities (long-term medical conditions requiring medical support, medicines or other accommodations), or mental disorders (such as psychological and emotional disorders). Some of these individuals will be integrated into regular adult education classes, while others will be provided educational services in separate groupings or sites.

Two types of educational services will be provided: reasonable accommodations and instructional strategies. Accommodations usually refer to modified equipment and materials, but can also include such things as physical access to programs and extended time to complete assessments or assignments. Instructional strategies will include a variety of groupings and techniques to address different learning styles.

Learning disabilities is a general term which refers to some type of central nervous system dysfunction which interferes with the ability to acquire, store (remember) or retrieve information or skills. These disorders are often congenital and usually occur across the life span. The majority of individuals with these learning

disabilities, though requiring some accommodations and special services, will be enrolled in regular adult education classes. Those individuals with mild developmental disabilities, mild conditions of autism, and many with cerebral palsy will be integrated in many adult education classes, depending on the content or subject matter, by the provision of appropriate accommodations.

In order to address individuals with disabilities, instructors should identify the needs and major student goals; analyze learning strengths through discussion, observation, informal and formal assessments; and develop adaptive strategies that support student strengths, adjust to student difficulties, and make sense to the student, given his or her context.

Individuals with disabilities will benefit from literacy instruction, workplace learning, and family literacy. Strategies to best deliver services will be offered by CDE, CDLP, OTAN, and CALPRO.

#### ***e. Incarcerated Adults***

While not often thought of as being a major component of California's educational system, the over 270,000 incarcerated juveniles and adults represent a significant portion of the hard-to-serve or drop-out segment. The objective of correctional education programs is to provide educational and job training services, linked to the goal of developing productive and responsible members of society.

CDE will encourage adult education providers to integrate technology into the classroom to meet the unique needs of the students. Academic programs for special education, ESL, high school credit, and basic education programs with special emphasis on reading, writing, vocabulary and arithmetic all offer incarcerated adults an increased chance to attain the skills to successfully integrate into society.

Closed circuit television systems and educational video programming are increasingly used as instructional technology. CDLP, OTAN, and CALPRO will work with teachers to identify technical needs and develop workshops to encourage effective practices. In addition, CyberSTEP, a collaboration between CDLP and OTAN, will develop video, CD-ROM, and Internet materials for ABE and ESL students who may be incarcerated.

#### ***f. Single Parents and Displaced Homemakers***

CDE will encourage adult education providers to make child care available or collaborate with other programs or agencies that will enable single parents with small children to attend classes. Participating agencies will be encouraged to have social services counseling and assistance available, although CDE will not require adult education providers to employ such personnel. CDE will encourage agencies to demonstrate linkages and collaborations that ensure that students will receive needed services. In serving displaced homemakers, participating agencies should demonstrate the capacity to refer re-entering students to receive career counseling, vocational evaluation and assessment, and educational counseling. Use of distance learning programs and services will be a priority in working with this population. Housing authorities throughout the State will be approached to develop collaborative efforts during the first year of the plan to determine the best role and services they can provide.

Workplace literacy programs will ensure that these target groups receive instruction in basic employment and self sufficiency skills needed to get and to retain employment. CDLP, OTAN, and CALPRO will develop and offer workshops and technical assistance to prepare teachers to implement effective strategies.



# Chapter 9

## Integration with other Adult Education and Training Activities

---

*Section 224(b)(11) of the Adult Education and Family Literacy Act states: “Describe how the adult education and literacy activities will be carried out with any funds received under this subtitle, and how they will integrate with other adult education, career development, and employment and training activities in the State or outlying area served by the eligible agency.”*

---

### 9.0 Integration with Other Adult Education and Training Activities (Section 224(b)(11))

#### 9.1 Description of Planned Integrated Activities

CDE recognizes the significance of the *Workforce Investment Act* (WIA) legislation that facilitates the coordination of adult education, literacy, and workforce development with those of other agencies, institutions, and organizations within the state. CDE will continue to participate with other state agencies in shaping programs for educating adult learners, preparing an effective workforce, and holding adult education and workforce preparation programs accountable for results.

Legislation in California over the past few years has had a significant impact on adult education programs. The impact has resulted in increased enrollments and diverse agencies serving adult students from low-income families, individuals with disabilities, single parents and displaced homemakers, and students with multiple barriers to educational enhancement, including students with limited English proficiency. The legislation has also included an ever increasing emphasis on collaboration between agencies providing services and integration of those services.

1. CDE will access the functional level of its adult population, in conjunction with its WIA partners, including the Department of Social Services, the State Collaborative Literacy Council, and the Employment Development Department. The results of this assessment will identify common target populations to create a framework for coordinated and integrated services.
2. One example of this increasing emphasis on collaboration between agencies is found in CalWORKs, California’s welfare reform legislation that became effective January 1, 1998, and replaced the Greater Avenues for Independence (GAIN) program. CalWORKs limits the time a person can be on welfare and collect Temporary Assistance to Needy Families (TANF) funds to a lifetime total of five years. CalWORKs, like GAIN, is administered by the Department of Social Services, which contracts with local education agencies for literacy and vocational training. Continuing collaboration between the Department of Social Services (DSS) and CDE will guarantee an on-going provision of literacy and workforce preparation training for TANF clients, who are identified as one of CDE’s target populations.
3. CDE participates on the State Job Training Coordinating Council (SJTCC), which is responsible for the development of One Stop Centers which are organized through local Economic Development Agencies. In addition, the SJTCC brought together five different funding sources to establish six regional One Stop Centers. These Centers are working with local education agencies, businesses, and county welfare offices to provide services and training to low income individuals and families or dislocated workers who need assistance to move toward economic self-sufficiency. Under WIA, the number of One Stop Centers will be expanded and become one of the primary delivery systems for adult services at the local level. These collaboratives will involve participation by adult education providers, as well as employment and welfare agencies. The

educational services to be provided will include literacy and workplace literacy, with support services such as transportation and child care coming from other One Stop partners.

4. The Joint Board Task Force (JBTF) on Noncredit Community College Programs and Adult Education was established in 1996 to study the issues facing noncredit programs in community colleges and adult education programs offered through the public school system. CDE staff collaborate as partners with community college staff on the JBTF.
5. CDE is ensuring that basic education, adult secondary education, workforce literacy, and family literacy activities carried out under this *Act* will integrate with other efforts by relying on the following collaborative groups:
  - a. *State Collaborative Literacy Council*. Representatives from the California Conservation Corps, California Department of Corrections, California Department of Education, California State Library, Chancellor's Office of California Community Colleges, Employment Development Department, Governor's Office of the Secretary for Education, and the State Literacy Resource Center of California, as well as an ex-officio link to community-based organizations, California Literacy, Inc., meet to discuss strategies and collaborative initiatives to address the growing number of adults needing literacy services.
  - b. *The Policy and Issues Act Workgroup*. Adult school administrators and representatives from major educational associations work with department staff and others to address major policy issues.
  - c. *Adult Literacy Workgroup*. This work group is comprised of all major stakeholders who are involved in adult education and workforce investment activities. These include adult schools, libraries, county offices of education, community-based organizations, and community colleges. Committee members share information and work together to provide an integrated service delivery system within California.
  - d. *Data Accountability Workgroup*. Representatives from major educational associations and field based adult educators work together to develop strategies for increased accountability and compliance with Senate Bill 645 (Performance Based Accountability).
6. In an effort to increase effective integration of workforce investment activities, Senate Bill 1417, which was passed in 1994, mandates the following:
  - a. development of a performance-based accountability system for state and federal employment and training programs;
  - b. identification of strategies to link workforce preparation to the current and future economic needs of California; and
  - c. identification of an appropriate organizational structure for a statewide workforce preparation council.

Since 1997, local education agencies have worked with Private Industry Councils, JTPA prime sponsors, Regional Occupational Programs (ROP), and others to improve planning and coordination of adult education, literacy, and workforce investment services. The current infrastructure ensures increased integration of these activities on both state and local levels through WIA legislation.

7. Finally, Proposition 227 was voted into law in June, 1998, and specified English immersion classes in public schools to eliminate bilingual education for children. The legislation also provided additional funding for English language instruction for parents and other community members who pledged to tutor school aged children. This will further strengthen the link between adult education programs and the local school districts.

# Chapter 10

## Description of the Steps to Ensure Direct and Equitable Access

---

*Section 231(c) requires: Each eligible agency receiving funds under Title II shall ensure that (1) all eligible providers have direct and equitable access to apply for grants or contracts under this section; and (2) the same grant or contract announcement process and application process is used for all eligible providers in the State or outlying areas.*

---

### 10.0 Description of the Steps to Ensure Direct and Equitable Access (Section 224(b)(12))

#### 10.1 Description of Steps

CDE will require all eligible providers for Sections 225 and/or 231 to use the same application and application process, so that these applications can be judged by the same review and scoring criteria. Statewide leadership activities will use CDE contracting procedures to ensure compliance with State contracting requirements.

CDE will contract with the Department of Corrections, Department of Developmental Services, and the California Youth Authority to provide services for institutionalized adults.

CDE uses several steps to ensure that there is direct and equitable access to the grant funds. In order to be eligible for funding consideration, all currently funded providers, public adult schools listed in the current *California Public School Directory*, and all other identified eligible agencies will receive a grant or contract application packet. This includes all known community-based organizations, community colleges, libraries, literacy councils, public housing authorities, and any other provider that is eligible pursuant to Section 203(5).

CDE will publish in the Contract Register and in at least five major newspapers a notice of the availability of funding for any Statewide Leadership activities that are anticipated with Section 223 funding. In addition to the general distribution of the Sections 225 and/or 231 application packets, CDE will post a notice of the availability of funding on the Web site maintained by OTAN. Also, information is distributed at conferences, workshops, and other activities where potential eligible providers are in attendance.

During the initial time frame for the grant or contract application submission process, any Sections 225 and/or 231 eligible agency that contacts CDE with an interest in participating will be provided the information needed. After the initial year, any new interested agency will be added to the list of potential new providers. CDE will send notification of availability of applications to all potential adult education providers prior to the second funding cycle.

CDE regional consultants have a general working knowledge of their regions and know if there is a qualified provider who has not previously participated in federal programs. In these instances, the staff members may make telephone contact to encourage the provider to participate in the program.

CDE believes that these approaches meet the requirements specified in the *Act* and is satisfied that every effort is made to ensure direct and equitable access.

## 10.2 Notice of Availability

CDE shall ensure that:

- all eligible providers have direct and equitable access to apply for grants or contracts; and
- the same grant or contract announcement process and application or proposal process will be used for all eligible providers in the State (refer to Chapter 6).

# Chapter 11

## Programs for Corrections Education and Other Institutionalized Individuals

---

*Section 225 requires for each fiscal year, each eligible agency to carry out corrections education or education for other institutionalized individuals using funding authorized by Section 222(a)(1). Section 222(a)(1) allows not more than 10 percent of 82.5 percent of the funding for the cost of educational programs for criminal offenders in correctional programs and for other institutionalized individuals, and Section 225(c) requires that priority be given to those individuals who are within five years of release from incarceration.*

---

### 11.0 Programs for Corrections Education and Other Institutionalized Individuals (Section 225)

#### 11.1 Types of Programs

CDE will ensure that not more than 10 percent of the local assistance grant or contract funds are allocated to Section 225 programs. These funds will be made available by contracting with the Department of Corrections (CDC), California Youth Authority (CYA), and Department of Developmental Services (DDS). Local sites will follow the application or proposal guidelines described in Chapter 6, and funds will be specifically used to supplement existing programs that address Priorities 1, 3, and 5 (refer to Chapter 3, Section 3.1) activities. The activities to be addressed within this population are:

- Increasing the use of computer technology to enhance instruction
- Promoting teacher professionalism and growth through exposure to model programs
- Developing and implementing innovative approaches to provide core curriculum instruction while students are increasing their basic skills
- Preparing students to receive a high school diploma or its equivalent
- Preparing students to make a successful transition to the community
- Preparing students to gain employment

#### 11.2 Priority

Correctional institutions will describe in their grant or contract application how they will give priority to serving individuals who are likely to leave the correctional institution within five years of participation in the program.

#### 11.3 Types of Institutional Settings

There are 33 state prisons, five developmental centers, four State hospitals, and 16 youth authority institutions providing adult education programs to institutionalized adults and inmates. These programs include educational services targeted at Priority 1, ABE and ESL literacy levels for students reading below the fifth grade; Priority 3, ABE and ESL literacy levels below the eighth grade level; and Priority 5, ASE literacy levels below the twelfth grade level.

All 58 California counties use county jail facilities. Inmates are usually housed for a period up to two years, before being transferred to another facility, or being released after serving their sentence. Typically jail education programs address adult educational skill levels that are within Priorities 1, 3, and 5 activities. These programs are offered by county offices of education, school districts, and community colleges.

Other facilities such as State hospitals, rehabilitation centers and limited retention facilities that provide literacy services to inmates receive services from adult schools, libraries, and community based organizations.

# Chapter 12

## Description of Proposed Leadership Activities

---

*Section 223. State Leadership Activities In General. Each eligible agency shall use funds made available under Section 222(a)(2) for one or more adult education and literacy activities.*

---

### 12.0 Description of Proposed Leadership Activities (Section 223(a) and (b))

Section 223 contains 11 adult education and literacy activities.

Activity	CASAS	CDLP	OTAN	CALPRO
1. Professional development for instruction	Continuing		Continuing	New
2. Technical assistance	Continuing		New	New
3. Technology assistance, including staff training	Continuing	New	New	New
4. Regional Resource Centers	Continuing		Continuing	Continuing
5. Monitoring and evaluation	New			Continuing
6. Incentives for programs and performance	Continuing	New	Continuing	Continuing
7. Developing and disseminating curricula	Continuing	Continuing	New	New
8. Other activities of statewide significance	Continuing		Continuing	New
9. Coordination with support services	Continuing	Continuing	Continuing	Continuing
10. Linkages with employers and skills training	Continuing			Continuing
11. Linkage with post-secondary	New		New	New

This section contains an overview to each of the four state projects followed by the plan to address each of the 11 activities listed under Section 223.

#### **Overview of the Four State Projects**

California leadership activities presently are conducted through four state projects:

1. Comprehensive Adult Student Assessment System (CASAS)
2. California Distance Learning Project (CDLP)
3. Outreach and Technical Assistance Network (OTAN)
4. California Adult Literacy Professional Development Project (CALPRO)

These projects provide staff development, technical assistance, curricula development, identification of model programs, and the monitoring of the quality of, and the improvement in, adult education and literacy activities, and research and development of products identified as priorities by the *State Plan*.

#### **Comprehensive Adult Student Assessment System (CASAS)**

CASAS was established in 1980 by a consortium of California Adult Education providers with leadership from and support by CDE. Today, CASAS is the most widely used system for assessing adult basic skills within a functional context. CASAS is the only adult assessment system of its kind to be approved and validated by the U.S. Department

of Education in the area of adult literacy. Backed by more than 18 years of research and development in adult assessment, instruction, and evaluation, CASAS provides a framework for implementing quality programs with a built-in standardized accountability system for reporting results. A national field-based consortium identifies priority needs with extensive input from adult education providers, employment and training professionals, and business and industry representatives. The assessment, training, and evaluation are based on critical competencies and skill areas required for success in the work place, community, and family. CASAS systems are used extensively throughout the country in programs such as employment preparation, welfare reform, ABE, ESL, which includes ESL-Citizenship, corrections, special education, secondary level programs, and many others.

### ***California Distance Learning Project (CDLP)***

CDLP, first established in 1995, offers new ways to provide instruction and learning services to California adult education providers and students. Its goal is to expand learner access to adult education services in California. Several opportunities drive the California distance learning initiative. Recent state legislation permits adult schools to experiment with flexible methods to deliver apportionment instruction. The “work first” focus in welfare reform programs presents challenges for adult educators to find new ways to serve the worker needing remedial and refresher skills to improve their employability. Current tasks remain constant with new development emphasis leading into the next millennium.

### ***Outreach and Technical Assistance Network (OTAN)***

OTAN provides communication linkages, information, and technical assistance to adult education providers. OTAN was created in 1989 in response to recommendations in the *California State Plan for Adult Basic Education* and in *Adult Education for the 21st Century: Strategic Plan to Meet California’s Long-term Adult Education Needs*. The principle focus of OTAN has been to address the problems of equal access to communication, information, and training among adult educators in California. Additional emphasis has been placed on using technology to support providers in making adult education more equitable, efficient, and effective. According to the U.S. Congress, Office of Technology’s *Assessment, Adult Literacy and New Technologies: Tools for a Lifetime*, “OTAN is seen as a model for other State information and dissemination systems, and as a resource for teacher training.” According to a recent survey of California ABE 321/326 trends and needs, local educators identify OTAN as the most helpful of California’s adult education leadership services.

### ***California Adult Literacy Professional Development Project (CALPRO)***

CALPRO was established in 2001 through a contract with the American Institutes for Research (AIR) of the Pelavin Research Center in Washington D.C. AIR has developed numerous publications including “train-the-trainer” modules, resource and mentoring guides, a framework for evaluating professional development services, and instructor and management competencies for adult educators. The mission of CALPRO is to foster continuous program improvement through a comprehensive, statewide approach to high quality professional development for the full range of California’s adult education and literacy providers. Primary goals of the project include providing high quality professional development in collaboration with CDE, other state Leadership Projects, and local service providers; developing a structure for the delivery of professional development services through State Regional Resource Centers; and improving the quality of instruction delivered to adult learners.

## **12.1 Description of Activities**

The four state projects address each of the 11 activities listed under Section 223 for adult education and literacy activities. Each activity is listed below, along with a description of how the state projects will connect.

### **Activity One**

*The establishment or operation of professional development programs to improve the quality of instruction provided pursuant to local activities required under Section 231(b), including instruction incorporating phonemic awareness, systematic phonics, fluency, and reading comprehension, and instruction provided by volunteers or by personnel of a State or outlying area*



- a. OTAN will offer professional development opportunities scheduled through the Regional Resource Centers in the areas of internet resources, computer assisted instruction, and web based instruction.
- b. CALPRO will use the Continuous Improvement Measure (CIM) developed by CASAS to complete a needs assessment of grantees throughout the state. Regional Resources Center staff will also receive training in using the CIM to identify the specific professional development needs of agencies within each region. CALPRO will also review existing professional development and training materials to identify resources within each region. Regional Resource Centers will then offer workshops, training, mentoring, and online activities specifically directed toward improving the quality of instruction.

## Activity Two

*The provision of technical assistance to eligible providers of adult education and literacy activities*

- a. CASAS will provide support services to agencies through improving and expanding a variety of successful strategies:
  - Statewide training each year to prepare federally funded agencies for the fall basic skills pre-post testing and data collection, provide a summary of the results of the previous year's data collection efforts, discuss the implications gained from the data, and provide opportunities for networking to share effective accountability practices among agencies
  - TOPSpro (Tracking of Programs and Students) training for agencies using the CASAS developed computerized TOPSpro system (TOPSpro offers agencies a tool to provide immediate feedback to administrators, teachers and students on the CASAS pre-post testing and other student progress and goal attainment measures. Participants will also learn how TOPSpro automates CASAS scoring, collects demographic information, tracks student progress, manages data for federal and state accountability reporting, and generates reports for students, teachers, and administrators.)
  - CASAS Web site and publications, such as the CASAS Quarterly, which provide articles, data, and other information on the latest assessment, accountability issues, research and practices
- b. OTAN will provide technical assistance to programs through a variety of activities:
  - Telephone and onsite technical assistance to ensure the optimum usage of communication technology
  - OTAN Web site resources to provide the latest in adult education research and effective practice
  - Onsite interventions to facilitate the use of best practices in computer assisted and Web based instruction
- c. CALPRO will work with CASAS to develop train-the-trainer modules focusing on California's AEFLA accountability requirements and administrative information for local program administrators. All modules will feature an online component to support the on-site training provided to trainers or participants.

## Activity Three

*The provision of technology assistance, including staff training, to eligible providers of adult education and literacy activities to enable the eligible providers to improve the quality of such activities*

- a. CASAS will provide technology assistance and support to agencies through improving and expanding the following strategies:

- Distance training via computer, video, and other resources for new staff and those unable to attend regional workshops
  - Technology-based technical assistance related to assessment, assessment instruments and other CASAS resources, use of TOPS and TOPSpro, the Employability Competency System, and the Workforce Learning System
  - CASAS Web site resources
  - Online databases available to assist in program planning, improvement and accountability
  - CASAS posts summarized reports from the On-line Action Research (OAR) Database of adult education teacher inquiry/research projects on its Web site. These papers report teacher research findings, provide a model of action research to interested practitioners, and serve as a resource for teacher researchers
- b. CDLP will provide technical assistance to distance learning programs by providing online training in using distance learning, a cadre of distance learning pioneers, and a distance learning symposium. Each of these activities is designed to help extend the experience and expertise of adult education providers to adopt distance learning in their instructional strategies.

In addition, CDLP will help create California's distance learning infrastructure and expand the ability of adult education providers to (1) communicate with each other and their learners through multiple methods, (2) develop a teleconferencing capability, and (3) provide capacity building services to small literacy providers.

- c. OTAN will provide instructional technology support through improving and expanding a variety of successful activities:
- researching and making available current information about new and emerging technologies and available learning resources;
  - conducting classes and workshops in all aspects of planning and implementing instructional technologies;
  - facilitating adult education providers to implement or demonstrate best practices in computer assisted instruction and/or web based instruction by piloting local interventions and by disseminating the successful models;
  - assisting in the implementation of the California Adult Education Technology Plan;
  - facilitating adult education providers to use an electronic communication system;
  - providing an electronic collaborative environment (including listservs, discussion boards, and work groups) for the exchange of information among adult education providers about effective program models, teaching techniques, and curriculum;
  - piloting, implementing, evaluating, and disseminating models for learner-oriented Web sites to encourage students to obtain the knowledge and skills necessary for employment and self-sufficiency; and
  - providing technical assistance, staff training, and program marketing to ensure the optimum usage of communication technology by adult education providers and learners.

## Activity Four

*The support of State or regional networks of literacy resource centers*

- a. OTAN supports the libraries of the regional network of literacy resource centers with centralized acquisitions, cataloging, and technical assistance.
- b. CALPRO will identify and select Regional Resources Centers (RRC) based on proposals from agencies. Each RRC will provide local literacy agencies with technical assistance and workshops in the areas identified in the regional and statewide needs assessments. CALPRO will establish reporting requirements to provide qualitative and quantitative data regarding the services provided by the RRCs.

## Activity Five

*The monitoring and evaluation of the quality of, and the improvement in, adult education and literacy activities*

- a. CASAS will ensure that the collection and reporting of valid and reliable data is consistent with current state and federal data collection guidelines.

CASAS is the provider of a standardized, age appropriate measurement system for all levels of the ABE program. CASAS provides accountability data to both state and federal agencies through the process of student progress assessment and demographic and goal attainment data collection. Sites participating in the federal data collection efforts receive agency-specific data and are given technical assistance on using this data for local reporting and program planning purposes.

- b. CASAS will update and expand the use of the TOPSpro computerized database system and provide training and technical assistance to all agencies using the system.
- c. CASAS will expand, develop, and further document student and program outcomes through activities, which will:
  - update and revise pre- post testing instruments, Student Entry/Update Records, Student Test Records, and training materials;
  - expand the process for collecting, aggregating, analyzing and reporting both quantitative and qualitative program data;
  - expand the process for development of level completion/exit tests;
  - work with the state Data and Accountability Committee to identify and address needs and improve the data collection process for federally funded programs in California; and
  - monitor progress of the prioritized areas family literacy and individuals with disabilities.
- d. CASAS will conduct a qualitative survey of providers of adult education and literacy activities each year to identify major trends and emerging needs and make recommendations to CDE for program improvement. A report of survey results will be published, made available to providers, and submitted to the Office of Vocational and Adult Education / Division of Adult Education and Literacy (OVAE/DAEL).
- e. CASAS will validate and post on the CASAS Web site summaries of the promising practices identified through the qualitative survey of providers. *Programs of Excellence* and Promising Practices provide models which other local providers can replicate or integrate into their programs.

## Activity Six

*Incentives for program coordination and integration and performance awards*

- a. Through CALPRO and CASAS, CDE will identify *Programs of Excellence* and Promising Practices. CDE will recognize local providers which meet specified quality criteria and provide models which other agencies can replicate or integrate into their programs. These models will feature exemplary practices in data collection and accountability, family literacy, and innovative use of technology in distance learning. The State Superintendent of Public Instruction honors *Programs of Excellence* with awards presented at ceremonies throughout the state. CASAS will post the Promising Practices on its Web site which is accessible to all local providers. These adult education providers will also receive certificate awards at the CASAS Summer Institute. In addition, OTAN will disseminate information about the program models.

## Activity Seven

*Developing and disseminating curricula, including curricula incorporating phonemic awareness, systematic phonics, fluency, and reading comprehension*

- a. CASAS will provide an annually updated Instructional Materials Guide, which correlates adult learning competencies with available instructional materials. This guide will assist teachers in locating published instructional materials to meet curricula needs and will be available both in print and computer disk versions.
- b. CDLP will test new instructional delivery methods. Distance and distributed learning is very new to adult literacy and basic education programs. It requires testing promising methods to expand learner access to learning. It also often requires new materials appropriate to the learning media. CDLP will focus on four distance learning development activities:
  - Expand and enhance the CNN (Cable News Network) Learning Resources
  - Pilot test home learning via WebTV
  - Determine the feasibility of a southern California Adult Education Network
  - Use distance learning for Workforce Education
- c. OTAN will identify and electronically disseminate curriculum and model program materials that are designed to do the following:
  - Support adult education providers to connect literacy instruction with occupational skill training
  - Integrate the Internet and other instructional technologies into classroom instruction
  - Implement student performance accountability measures
- d. Through the Regional Resources Centers, CALPRO will offer on-site workshops and training that improve instructors' teaching abilities. Technical assistance for these activities will also be available through telephone and electronic mail, on-site training events, and via distance learning.

## Activity Eight

*Other activities of statewide significance that promote the purpose of this title*

- a. *Distance Learning Knowledge Base*: Technical and instructional information related to distance learning is referenced and/or made available on the CDLP home page. This home page continues to evolve with more emphasis on providing links to online professional development and learner materials. CDLP's home page user statistics indicate over 20,000 "hits" per month over a six month time period in 1997.
- b. *Continuing Training*: CALPRO will continue to provide technical assistance to adult education program providers in implementing effective programs and strategies through a variety of activities:

- The identification of a group of practitioners to act as Field Colleagues who will be trained to provide technical assistance to agencies that request interventions. Their tasks will include helping small agencies plan creative solutions to problems of finance, staffing, curriculum development, and student accountability.
  - An Administrative Leadership Training Program, which each year trains new and emerging adult leaders. The program provides a curriculum designed to train participants in the implementation of technology and distance learning, data collection analysis for program improvement, and marketing.
- c. *Curriculum Standards:* Curriculum standards have been developed for ESL (1991), ABE (1996), and Adult Secondary Education (ASE)(1996). CDE will continue to focus on the ongoing development and implementation of quality programs by providing *Model Program Standards for Older Adult, Adults with Disabilities, and Parent Education* programs. These documents outline program, assessment, curriculum, and instructional standards for all adult literacy providers to assist them in meeting the individual and changing needs of the adult learner. These instructional standards provide assistance for all literacy providers in meeting the individual and changing needs of the adult learner. CALPRO will facilitate the development of these standards; however technical assistance and professional development are available to agencies in the implementation of program standards through all four projects.
- d. *Information Infrastructure and Reference Services:* OTAN will identify and make available the latest information on adult education research and effective practice through maintenance and improvement of electronic and print resource collections and reference services. In addition, OTAN will preserve and make accessible the historical documents of adult education in order to build on past successes and avoid repeating failures.

## Activity Nine

*Coordination with existing support services, such as transportation, child care, and other assistance designed to increase rates of enrollment in, and successful completion of, adult education and literacy activities to adults enrolled in such activities*

- a. CASAS, CDLP, OTAN, and CALPRO will promote networking with a variety of local agencies in order to locate appropriate support services for students. Collaborations will include providing assistance to the development of local One Stop Centers.
- b. CASAS, CDLP, OTAN, and CALPRO will work in collaboration with each other to identify and provide a wide range of activities designed to assist local agencies in increasing rates of enrollment, improving instruction, providing student resources, and promoting student success. Family literacy programs will be targeted for support in building and maintaining collaboratives.

## Activity Ten

*Integration of literacy instruction and occupational skill training, and promoting linkages with employers*

- a. CASAS will provide training, technical assistance and appropriate assessments to adult education and employment and training programs serving adults with employability goals. Specifically, the Employability Competency System (ECS) will be available for use with ABE and ESL, which includes ESL-Citizenship, students whose goal is employment related. The skills assessed are directly linked to skills and competencies needed to get and keep a job and the results can be used to identify jobs that are linked to skill levels. CASAS will be conducting a statewide survey of the basic skills that employers identify as critical for entry level workers in their industry. The results are being used to develop level completion assessments for employability that are directly linked to the identified core skills. Certificates of Proficiency will be developed based on the survey and the assessments that can be used to verify students' mastery of skills at specified benchmark levels.

CASAS competencies have been correlated with SCANS skills and competencies in order to provide guidance for the integration of literacy instruction and vocational skills training.

- b. CDLP and OTAN will research and define the need for providing distance learning workplace education resources for providers and clients of Welfare-to-Work (WtW) and *Workforce Investment Act* programs. Several adult distance learning models will be tested for their application in post employment workforce education.
- c. CALPRO will provide both on-site and online information on SCANS materials, as well as electronic access to current research discussing how teachers can integrate vocational preparation skills in their instructional settings.

## Activity Eleven

### *Linkages with postsecondary educational institutions*

OTAN, in partnership with CALPRO, will collaborate with postsecondary institutions to develop online courses for instructors, for the purpose of program improvement, certification, or re-certification.

## 12.2 Collaboration with Other Related Agencies and Programs

- a. Representatives of the four special projects will work closely with and attend regular meetings of TANF/CalWORKs committees. Information related to regional workshops and meetings are disseminated to local providers through announcements on the OTAN system.
- b. Expanding the On-line Action Research (OAR) database, CASAS has several significant collaborations with Pelavin Research Institute, under a contract with OVAE/DAEL. This database includes teacher action research projects that can be accessed on the CASAS web site to support ongoing professional development for adult basic education instructors and staff nationally.

CASAS is also assisting in the development of teacher competencies and a professional development document; supporting the National Reporting System pilot project, providing technical support to pilot sites; and working with a national consortium of states to improve assessment and accountability systems for adult education programs nationally.

- c. CDLP and OTAN are establishing a partnership with the Los Angeles Unified School District and the Adult Literacy Media Alliance, New York, in a major venture to expand access to high quality adult education and literacy instructional services and materials. The three year project, CyberSTEP (Systems Technology Education Products), targeted at ABE and ESL, which includes ESL-Citizenship, students, is being developed under a contract with OVAE/DAEL.
- d. OTAN will collaborate extensively with other educational and governmental agencies, including:
  - OVAE/DAEL Adult Learning and Literacy Clearinghouse and links to Web sites;
  - Partner relationship with National Clearinghouse for English as a Second Language Literacy Education (NCLE);
  - Partner relationship with ERIC Adult, Career, and Vocational (ACVE) Clearinghouse;
  - Close collaboration with the National Institute for Literacy (NIFL) and the National Center on Adult Literacy (NCAL); and
  - Exchanges print and electronic resources and reciprocal electronic linkages with:
    - National Center for Family Literacy (NCFL)
    - National Center for the Study of Adult Learning and Literacy (NCSALL)
    - National Center for Research in Vocational Education (NCRVE)
    - National Workforce Assistance Collaborative (NWAC)

- Center for Applied Linguistics (CAL)
- Workforce Development Information Center
- National Center for Research on Evaluation, Standards, & Student Testing (CRESST)
- State Literacy Resource Centers (SLRC) and Regional Hubs.

e. CALPRO collaborates extensively with other educational and governmental agencies including:

- Adult Literacy Resource Institute (ALRI)
- Center for Applied Linguistics (CAL)
- Disabilities Center (National ALLD Center)
- ERIC (Education Resources Information Center)
- Libraries and Lifelong Learning (PLLI)
- LINC—the National Institute for Literacy's Literacy Information and Communication System
- Literacy Volunteers of America
- National Adult Education Professional Development Consortium (NAEPDC)
- National Center on Adult Literacy (NCAL)
- National Center for Family Literacy
- National Center for the Study of Adult Learning and Literacy (NCSALL)
- National Clearinghouse for ESL Literacy Education (NCLE)
- National Institute for Literacy (NIFL)
- National Institute on Postsecondary Education
- National Reporting System for Adult Education
- TESOL

## 12.3 Description of Proposed Leadership Activities for English Literacy and Civics Education Activities

Funds will be utilized to support leadership activities in two different areas:

### ***Activity One: Resource Development Mini-grants***

Mini-grants will be available on a competitive basis to support the development of original resources and materials on civics education issues and/or supplemental alternative assessment materials that can be used to document learning gains and generate additional data on learner achievements. Reimbursement for Resource Development Mini-Grants will be based on attainment of program benchmarks identified and negotiated as part of the application and approval process.

In order to assist immigrants and refugees to participate more effectively in the education, work, and civic opportunities of this country, materials and resources are expected to address but are not limited to the following civic participation areas:

- Economic/financial literacy
- Preventive health literacy
- Education participation literacy
- Employment rights literacy
- Intergenerational literacy

Applicants will document the research they have conducted on pre-existing civics education materials to ensure that what is developed as a result of this additional allocation is new and innovative and provides learners with opportunities to develop more extensive civic education knowledge and civic participation skills.

Grant recipients will conduct comprehensive evaluation activities to document and assess the impact of civics education resource development on adult student performance, knowledge of civic education content, extent of civic

participation and civic education teaching practice such as pre- and post-tests, evaluation and feedback forms, and surveys.

### ***Collaboration with other Related Leadership Projects***

Successful grant recipients will disseminate resources and materials through OTAN. They will also work collaboratively with the Staff Development leadership project to ensure creation of materials that are user friendly and either self explanatory in their use or amenable to grouping for development of staff training materials. Allowable activities include, but are not limited to:

- Lesson plan/instructional unit development
- Alternative assessment resources and materials
- Teaching/display/support materials development
- Student workbook development with a distance learning focus
- Audio/video tape development
- Community resource catalog development

### ***Activity Two: EL Civics Education Evaluation***

The Adult Education Office will fund a third-party evaluation of EL Civics Education distance learning initiatives conducted in California to date, such as the implementation of the “On Common Ground” EL Civics Education instructional materials used in a distance learning format. This evaluation will include the components necessary to provide successful civic education activities for English language learners, the cost of providing these services, and expected student outcomes.



# Chapter 13

## Description of Proposed Administrative Expenses

### **13.0 Description of Proposed Administrative Expenses:**

No more than six short-term, special assignment field consultants will be contracted to provide oversight of and technical assistance to funded projects. One lead field consultant will be hired in advance of the remaining support consultants.

Up to five CDE staff positions in the Adult Education Office will work on administration of the EL Civics Education grant.

# Appendices

# Glossary

## **Adult Basic Education (ABE) Classes**

Classes below the high school level which have as their native objective the teaching of basic literacy skills in a course of study adopted by the agency's governing board. Each course of study shall describe the target population, e.g., ABE, ESL, ESL-Citizenship, VESL, handicapped, etc; the functioning level of the students served; the basic literacy and life skills to be taught; and how those skills will be integrated into a competency-based adult education program.

Note: For purposes of supplemental grants under Section 231 in Basic Skills Program, only students functioning below the high school level qualify for funding. In addition, agencies must complete certification form (ED 80-0013). This certification form consolidates certifications required under 34 CFR Part 82, "New Restrictions on Lobbying" and 34 CFR Part 85, "Government-wide Debarment and Suspension (Non procurement)" and Government-wide Requirements for Drug-Free Workplace.

## **Adult Basic Education (ABE) Skills**

Education in elementary basic skills subject for adults whose native language is English, and whose inability to effectively use these basic skills constitutes a substantial impairment of their ability either to get or retain employment commensurate with their ability or to function in society.

## **Adult Education**

Adult education means services or instruction below postsecondary level for students who (A) have attained 16 years of age; (B) are not enrolled or required to be enrolled in secondary school under State law; and (C)(1) lack sufficient mastery of basic educational skills to enable the students to function effectively in society; (2) do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or (3) are unable to speak, read, or write the English language.

## **Adult Education Office**

The Office of the California Department of Education which serves as the administering body for the *Adult Education and Family Literacy Act*.

## **Applicant Agency**

Section 231 supplemental grants provided through the State Education Agency may be carried out by public or private agencies, organizations, and institutions. Such applicant agency shall be the primary provider of ABE, ASE, and ESL classes, which includes ESL-Citizenship, and Family Literacy Services and Workplace Literacy for which supplemental funding is requested. Statewide agencies or organizations shall be allowed only one grant application. No agency levying any kind of fee, tuition, or charge to the students served using any *Adult Education and Family Literacy Act* funds will be an eligible applicant.

## **Basic Literacy Skills**

Those skills relating to the general categories of reading, writing, computation, problem solving, and interpersonal skills that enable adults to read, write, and speak in English, compute, acquire a secondary diploma, and become more employable, productive, and responsible citizens.

## Competency-Based Education

A performance-based process leading to demonstrated mastery of skills or knowledge. This process involves identifying specific, measurable competencies or outcomes; progressing as quickly as possible to more difficult competencies yet paced to each student's rate of learning; encouraging open entry, open exit delivery of services; encouraging alternative instructional methods and materials; and ongoing assessment of students, with a capacity to provide students with criterion-referenced test measures and immediate feedback on their performance.

## Criminal Offender

Any individual who is charged with or convicted of any criminal offense.

## Disadvantaged Adults

The term "disadvantaged" encompasses many definitions. For the *State Plan*, the term "educationally disadvantaged adult" means an adult who (1) demonstrates basic skills deficiency or scores below the 8th grade level on a generally acceptable standardized test, 235 CASAS scale score, or comparable score on a criterion-referenced test; or (2) has been placed in the lowest or beginning level of an adult education program when that program does not use grade level equivalencies as a measure of a student's basic skills.

## Educationally Disadvantaged Adult

An adult who demonstrates basic skills equivalent to or below that of students at the fifth grade level or has been placed in the lowest or beginning level of an adult education program when that program does not use grade level equivalencies as a measure of students' basic skills.

## English as a Second Language (ESL)

Adult education for adults whose inability to understand, speak, read, or write the English language constitutes a substantial impairment of their ability to get or retain employment commensurate with their real ability or to function in society, or successfully complete the citizenship application process. ESL-Citizenship classes must use ESL as a method and citizenship as content.

## English Literacy Program

A program of instruction designed to help individuals of limited English proficiency achieve competence in the English language.

## Family Literacy Services (FLS)

Services that are of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrate all of the following activities: (1) interactive literacy activities between parents and their children; (2) training for parents regarding how to be the primary teacher for their children and full partners in the education of their children; (3) parent literacy training that leads to economic self-sufficiency; and (4) an age-appropriate education to prepare children for success in school and life experiences.

## Individual with a Disability

An individual with any disability (as defined in section 3 of the *Americans with Disabilities Act of 1990* (42 U.S.C. 12102)).

**Individual of Limited English Proficiency**

An adult or out-of-school youth who has limited ability in speaking, reading, writing or understanding the English language, and (a) whose native language is a language other than English; or (b) who lives in a family or community environment where a language other than English is the dominant language.

**Institutionalized Adults**

Adults who are inmates, patients, or residents of correctional, medical, or state institutions.

**Life Skills**

Those skills which are considered the content of adult literacy dealing with such classifications as consumer economics, government and law, occupational knowledge, community resources, and health that are integrated into an educational agency's basic literacy skills course of study.

**Literacy**

An individual's ability to read, write, and speak in English, compute, and solve problems, at levels of proficiency necessary to function on the job, in the family of the individual, and in society.

**Marketing**

The activities necessary to announce the availability of adult education and family literacy training in the community.

**Networking**

Systematic and voluntary efforts toward communication and coordination among adult education providers and related organizations in the community or region.

**Substantially Handicapped**

Those who have handicaps which are likely to continue indefinitely or for a prolonged period, and whose handicap results in substantial functional limitations in: self care, receptive or expressive language, learning, mobility, self-direction, capacity for independent living, or economic self-sufficiency.

**Unit Rate**

The amount of federal funds under the *Adult Education and Family Literacy Act* that are available to an applicant agency for each 100 student hours of attendance.

**Workplace Literacy (WL) Services**

Services that are offered for the purpose of improving the productivity of the workplace through the improvement of literacy skills.

All eligible agencies that submit grant applications meeting the above criteria will receive funds. In addition, applicants must have demonstrated or can demonstrate a capability to recruit and serve educationally disadvantaged adults particularly in areas with a high proportion of adults who do not have a certificate of graduation from a school providing secondary education or its equivalent.

# Acronyms

**ABE** – Adult Basic Education  
**ADA** – *Americans with Disabilities Act*  
**AFDC** – Aid to Families with Dependent Children  
**ASE** – Adult Secondary Education  
**CALPRO** – California Adult Literacy Professional Development Project  
**CalWORKs** – California Work Opportunity and Responsibility to Kids  
**CASAS** – Comprehensive Adult Student Assessment System  
**CBEDS** – California Basic Education Data System  
**CDC** – California Department of Corrections  
**CDE** – California Department of Education  
**CDLP** – California Distance Learning Project  
**CYA** – California Youth Authority  
**CyberSTEP** – Cyber Systems Technology Education Products  
**DDS** – Department of Developmental Services  
**ESL** – English as a Second Language  
**FL** – Family Literacy  
**FLS** – Family Literacy Services  
**GAIN** – Greater Avenues for Independence  
**NALS** – National Adult Literacy Survey  
**NRS** – National Reporting System  
**OTAN** – Outreach and Technical Assistance Network  
**OVAE/DAEL** – Office of Vocational Adult Education/Division of Adult Education and Literacy  
**SALS** – State Adult Literacy Survey  
**SJTCC** – State Job Training Coordinating Council  
**TANF** – Temporary Assistance for Needy Families  
**TOPSpro** – Tracking of Programs and Students  
**VESL** – Vocational English as a Second Language  
**WIA** – *Workforce Investment Act*  
**WL** – Workplace Literacy